



CHILD CARE AND DEVELOPMENT FUND PLAN

FOR: ALABAMA

FFY 2010-2011

This Plan describes the CCDF program to be conducted by the State/Territory for the period 10/1/09 – 9/30/11. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including changing the options selected or described herein.

The official text of the applicable laws and regulations govern, and the Lead Agency acknowledges its responsibility to adhere to them regardless of the fact that, for purposes of simplicity and clarity, the specific provisions printed herein are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text.

Public reporting burden for this collection of information is estimated to average 162.5 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

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Form ACF 118 Approved OMB Number: [INSERT NUMBER] expires [INSERT DATE]

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AMENDMENTS LOG

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Lead Agencies must submit plan amendments within 60 days of the effective date of an amendment (§98.18 (b)).

Instructions for Amendments:

- 1) Lead Agency completes the first 3 columns of the Amendment Log and sends a photocopy of the Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional Office contact. Lead Agency also should indicate the Effective Date of the amended section in the footer at the bottom of the amended page(s). A copy of the Log, showing the latest amendment pending in ACF, is retained as part of the Lead Agency's Plan.
- 2) ACF completes column 4 and returns a photocopy of the Log to the grantee.
- 3) The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Note: This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead Agency is advised to retain "old" plan pages that are superseded by amendments in a separate appendix to its Plan. This is especially important as auditors will review CCDF Plans and examine effective date of changes.

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF

PART 1

ADMINISTRATION

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

1.1 Lead Agency Information (as designated by State/Territory Chief Executive Officer)

Name of Lead Agency: Alabama Department of Human Resources

Address of Lead Agency: **50 Ripley Street**
P.O. Box 304000
Montgomery, AL 36130

Name and Title of the Lead Agency's Chief Executive Officer:

Nancy T. Buckner, Commissioner

Phone Number: **(334) 242-1160**

Fax Number: **(334) 242-0198**

E-Mail Address: **nancy.buckner@dhr.alabama.gov**

Web Address for Lead Agency (if any): **www.dhr.alabama.gov**

1.2 State/Territory Child Care (CCDF) Contact Information (day-to-day contact)

Name of the State/Territory Child Care Contact (CCDF): **Debbie Thomas**

Title of State/Territory Child Care Contact: **Division Director**

Address: **50 Ripley Street**
P.O. Box 304000
Montgomery, AL 36130

Phone Number: **(334) 242-1425**

Fax Number: **(334) 353-1491**

E-Mail Address: **Debbie.Thomas@dhr.alabama.gov**

Phone Number for CCDF program information (for the public) (if any): **(866) 528-1694**

Web Address for CCDF program information (for the public) (if any):

www.dhr.alabama.gov

1.3 Estimated Funding

The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period: October 1, 2009 through September 30, 2010. (§98.13(a))

CCDF: **\$72,282,980**

Federal TANF Transfer to CCDF: **\$15,283,837**

Direct Federal TANF Spending on Child Care: **\$0**

State CCDF Maintenance of Effort Funds: **\$6,896,417**

State Matching Funds: **\$7,707,550**

Total Funds Available: **\$101,609,784**

1.4 Estimated Administration Cost

The Lead Agency estimates that the following amount (and percentage) of Federal CCDF and State Matching Funds will be used to administer the program (not to exceed 5 percent): **\$4,735,668 (5 %)**. (658E(c) (3), §§98.13(a), 98.52)

1.5 Administration of the Program

1.5.1 Does the Lead Agency directly administer and implement all services, programs and activities funded under the CCDF Act, including those described in Part 5.1 – Activities & Services to Improve the Quality and Availability of Child Care, Quality Targeted Funds and Set-Aside?

- ☐ Yes.
- ☒ No. If no, use **Table 1.5.1** below to **identify** the name and type of agency that delivers services and activities. If more than one agency performs the task, identify all agencies in the box under “Agency,” and **indicate** in the box to the right whether each is a non-government entity.

Table 1.5.1: Administration of the Program

Service/Activity	Agency	Non-Government Entity (see Guidance for definition)
Determines individual eligibility:	Determined by regional Child Care Management Agency (CMAs). See attachment 1.5.1 for a detail listing of CMA agencies.	
a) TANF families	Child Care Management Agencies (CMA) 1. CMA of North Central Alabama 2. Talladega Clay Randolph Child Care Corporation (TCR) 3. Family Guidance Center of AL 4. Child Care Resource Center 5. University of Alabama, Child Development Resources	1. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 2. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 3. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 4. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 5. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
b) Non-TANF families	Child Care Management Agencies (CMAs)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Assists parents in locating care	1. CMAs (see above list) 2. Childcare Resource Network 3. Childcare Resources 4. GRCMA Early Childhood Directions	2. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 3. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 4. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Makes the provider payment	Alabama Department of Human Resources	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Quality activities	Child Care Quality Enhancement Agencies (QEAs) 1. Talladega Clay Randolph Child Care Corporation (TCR) 2. Family Guidance Center of AL 3. Child Care Resource Center 4. University of Alabama, Child Development Resources 5. Childcare Resource Network 6. Childcare Education Resources	1. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 2. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 3. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 4. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 5. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 6. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

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Service/Activity	Agency	Non-Government Entity (see Guidance for definition)
	7. Alabama Dept of Public Health 8. Auburn University 9. United Cerebral Palsy of Huntsville and Tennessee Valley 10. Alabama Public Television 11. Alabama Dept of Postsecondary Education 12. Northwest Shoals Community College 13. Alabama Dept of Education 14. Childcare Resources 15. GRCMA Early Childhood Directions	7. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 8. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 9. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 10. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 11. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 12. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 13. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No 14. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No 15. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Other:		<input type="checkbox"/> Yes <input type="checkbox"/> No

1.5.2. Describe how the Lead Agency maintains overall internal control for ensuring that the CCDF program is administered according to the rules established for the program (§98.11).

The Child Care Management Agencies (CMAs) and Quality Enhancement Agencies (QEAs) are monitored by the Department to determine contract compliance as well as compliance with applicable federal and state laws and regulations and departmental policies and procedures. Agencies are selected through a competitive Request for Proposal (RFP) process. The current CMA contracts were issued for a one-year time frame with an option for renewal or extension of the contract. The current QEA contracts were issued for a two-year time frame. Although contracts are for multiple years the agencies must submit a new budget for review and approval each year of the contract. If a contract is extended or renewed, the contracting agency must submit a new budget for review and approval.

State level staff provides training and technical assistance to contractors on all issues including budget and policy. A policy specialist provides clarifications as needed and conducts training on policy issues. QEA agencies submit quarterly reports of activities that are compared with the services to be performed as outlined in the contract

1.5.3. Describe how the Lead Agency ensures adequate personnel, resources, systems, internal controls, and other components necessary for meeting CCDF reporting requirements (658K, §98.67, §§98.70 & 98.71, §§98.100 to 102), including the Lead Agency's plans for addressing any reporting deficiencies, if applicable. At a minimum, the description should address efforts for the following reporting requirements:

- a) Fiscal
- b) Data
- C) Error Rate

The Child Care Subsidy Program is part of the Alabama Department of Human Resources. The Subsidy Program relies on the fiscal services of the Department's Finance Division, data and system support from the Department's Information Systems Division and Program Integrity from the Department's Office of Audit. In addition the entire Department is audit by the state's Examiners of Public Account.

1.6 Funds Used to Match CCDF

1.6.1 Will the Lead Agency use public funds to meet a part of the CCDF Match requirement pursuant to §98.53(e)(1)?

☒ Yes, **describe** the activity and source of funds:
The Department in collaboration with local government entities and with the assistance of child advocacy agencies has identified local efforts that are consistent with CCDF child care requirements. These activities include local funding to child care centers for child care slots and teacher training.

☐ No.

1.6.2 Will the Lead Agency use private donated funds to meet a part of the matching requirement of the CCDF pursuant to §98.53(e)(2)?

☐ Yes. If yes, are those funds: (**check one below**)

☐ Donated directly to the State?

☐ Donated to a separate entity or entities designated to receive private donated funds?

a) How many entities are designated to receive private donated fund?

b) **Provide** information below for each entity:

Name: _____

Address: _____

Contact: _____

Type: _____

☒ No.

1.6.3 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF maintenance of effort (MOE) requirement?

☒ Yes (**respond to 1.6.5**), and:

a) ☒ The State assures that its level of effort in full day/full year child care services has not been reduced, pursuant to §98.53(h)(1).

b) (**20 %**) Estimated percentage of the MOE requirement that will be met with Pre-K expenditures. (Not to exceed 20%.)

c) If the Lead Agency uses Pre-K expenditures to meet more than 10% of the MOE requirement, **describe** how the Lead Agency will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):
Alabama's Department of Children's Affairs Pre-K initiative has expanded to operate 188 sites in 63 of the 67 counties within the state. The initiative has expanded through the years to serve more children. The initiative, which serves 4 year olds, uses a variety of strategies aimed at serving families and children, including collaborating with other entities to provide services in schools, family child care homes, parenting centers and child care centers, thus more effectively meeting the needs of working families within these communities.

☐ No.

1.6.4 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF Matching Fund requirements? (§98.53(h))

☒ Yes (**respond to 1.6.5**), and

a) (**30 %**) Estimated percentage of the Matching Fund requirement that will be met with pre-K expenditures. (Not to exceed 30%.)

b) If the State uses Pre-K expenditures to meet more than 10% of the Matching Fund requirement, **describe** how the State will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)):

☐ No.

1.6.5 If the Lead Agency indicated “yes” to 1.6.3 or 1.6.4, **describe** Lead Agency efforts to ensure that pre-K programs meet the needs of working parents: (§98.53(h)(2))

Alabama's Department of Children's Affairs Pre-K initiative operates 188 sites in 63 of the 67 counties within the state. The initiative collaborates with other entities to provide services in schools, for profit and non-profit child care centers, Head Start and faith-based centers, thus more effectively meeting the needs of working

families within these communities. The Department uses CCDF funds for “wrap-around” services to Pre-K program participants who qualify for the Child Care Subsidy Program. This allows for full-day services to meet the needs of working families.

1.6.6 Will the Lead Agency use any other funds to meet a part of the CCDF Match requirement pursuant to §98.53(e)(1)?

- ☐ Yes, **describe** the activity and source of funds:
- ☒ No.

1.7 Improper Payments

1.7.1 How does the Lead Agency define improper payments?

Improper payments are defined as error in authorization or payment resulting from an intentional or unintentional violation of subsidy policy by the provider or parent or misapplication of subsidy policy by the agency. Improper payments are classified as Fraud or Non-Fraud. Improper payments are classified as Fraud when there is suspected willful misrepresentation of fact by the parent or provider in order to gain, or have the effect of gaining payments or services for which the parent or provider would not otherwise be eligible. Non-Fraud improper payments include administrative errors on the part of agency staff or unintentional errors on the part of the parent or provider.

1.7.2 Has your State implemented strategies to prevent, measure, identify, reduce, and/or collect improper payments? (§98.60(i), §98.65, §98.67)

- ☒ Yes, and these strategies are:

Improper payment prevention has been addressed through written policy defining eligibility conditions, categories and procedures for reporting and monitoring changes for clients. Written policy has also been developed regarding provider registration, rates, and billing procedures. Program monitoring by Department staff is conducted on a random sample of records from each CMA agency to ensure proper application of these policies. During the monitoring visits, case records and provider records are randomly selected and reviewed for compliance with subsidy policy and procedures. Cases are reviewed for correct application of policy as well as correct knowledge of child care computer system data entry. CMA agencies are sent a formal report of the results of the monitoring review. The Report summarizes the number and percentage of payment and non-payment errors. Agencies are required to submit a correction action plan detailing

how the agency will address the identified errors, procedures with caseworkers to reduce future errors, and actions to recover improper payments. At the next review, progress on the corrective action plan is monitored by the Department staff.

CMA supervisory staff conduct a monthly review of a sample of records completed by caseworkers to ensure correct application of policy and the identification of changes in the parent's situation that might affect the payment amount, i.e. family size, income, or change in the child care setting. CMA staff also monitors provider attendance sheets. When irregularities are noted, the CMAs are authorized to conduct on-site monitoring visits with the provider to view more detailed attendance and financial records maintained by the provider.

Once an improper payment is identified, administrative procedures regarding collections include recoupment (providers only), repayment agreements, sanction and referral for prosecution.

- ☐ No. If no, are there plans underway to determine and implement such strategies?
- ☐ Yes, and these planned strategies are: _____
- ☐ No.

PART 2

DEVELOPING THE CHILD CARE PROGRAM

2.1 Consultation and Coordination

2.1.1 Lead Agencies are required to *consult* with appropriate agencies and *coordinate* with other Federal, State, local, tribal (if applicable) and private agencies providing child care and early childhood development services (§98.12, §98.14(a),(b), §98.16(d)).

Indicate the entities with which the Lead Agency has a) **consulted** and b) **coordinated** (as defined below), by checking the appropriate box(es) in Table 2.1.1.

Consultation involves the meeting with or otherwise obtaining input from an appropriate agency in the development of the State Plan. **At a minimum, Lead Agencies must consult with representatives of general purpose local governments (noted by the asterisk in the chart below).**

Coordination involves the coordination of child care and early childhood development services, including efforts to coordinate across multiple entities, both public and private (for instance, in connection with a State Early Childhood Comprehensive System (SECCS) grant or infant-toddler initiative). **At a minimum, Lead Agencies must coordinate with** (1) other Federal, State, local, Tribal (if applicable), and/or private agencies responsible for providing child care and early childhood development services, (2) public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health), (3) employment services / workforce development, (4) public education, and (5) Temporary Assistance for Needy Families (TANF), and (6) any Indian Tribes in the State receiving CCDF funds (noted by the asterisks in the chart below).

Table 2.1.1 Consultation and Coordination

Agency	a) Consultation in Development of the Plan	b) Coordination with Service Delivery
Representatives of local government	<input checked="" type="checkbox"/> *	<input type="checkbox"/>
Other Federal, State, local, Tribal (if applicable), and/or private agencies providing child care and early childhood development services.	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *
Public health	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *
Employment services / workforce development	<input type="checkbox"/>	<input checked="" type="checkbox"/> *
Public education	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *
TANF	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *

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Agency	a) Consultation in Development of the Plan	b) Coordination with Service Delivery
Indian Tribes/Tribal Organizations, when such entities exist within the boundaries of the State	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> *
State/Tribal agency (agencies) responsible for:		
State pre-kindergarten programs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Head Start programs	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Programs that promote inclusion for children with special needs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Other (See guidance):	<input type="checkbox"/>	<input type="checkbox"/>

*** Required.**

For each box checked in Table 2.1.1, (a) identify the agency(ies) providing the service and **(b) describe** the consultation and coordination efforts. Descriptions must be provided for any consultation or coordination required by statute or regulation.

Representatives of Local Government: Comments on the state plan are encouraged from local government agencies. The Department has coordinated with local government agencies to identify local spending on child care that could be used as state match. In addition, the Department has worked with the Department of Children's Affairs in their efforts with local Children's Policy Councils. Staff of the CMA organizations and Quality Enhancement Agencies, as well as Department staff, participate in these local community councils and have provided resources as needed.

Other Federal, State, local, Tribal (if applicable), and private agencies providing child care and early childhood development services:

The Early Learning Guidelines Advisory Committee and Professional Development Team committees include representatives of various stakeholder groups in the early care and education community: Head Start, Alabama Department of Education, Office of School Readiness/Pre-K, Poarch Band of Creek Indians, 2-Year Colleges, 4-Year Colleges, Center Directors, Family Child Care Providers, Faith-based Child Care Providers, School-age Child Care Providers, Statewide Professional Organizations, DHR County Directors Association, Alabama Department of Postsecondary Education, Alabama Commission on Higher Education, and Alabama Department of Rehabilitation Services/Early Intervention.

Beginning is making plans to convene a Citizen's Advisory Committee in October 2009. The make-up of the committee has not been determined but it is anticipated that this committee will include representative form

Public health:

The Department of Public Health is the lead agency for the Early Childhood Comprehensive Systems (ECCS) Grant. The Department staff, CMA and Quality Enhancement Agency staff participated in the development of the plan. The plan allows State and local entities to identify gaps in current services and resources for young children and their families and to coordinate existing efforts among available resources and services. The grant first brought the group together in 2004 and the group continues to work together to implement goals identified in the grant. The group identified *The Blueprint for Zero to Five (School Readiness)* as the public awareness campaign to involve local government and community-based agencies in the goals of ECCS grant. *The Blueprint for Zero to Five* is a tool for state and local planning and coordination using an indicator-based approach to ensure better child outcomes.

The Department funds the Healthy Child Care Alabama initiative using quality funds in collaboration with the Alabama Department of Public Health. The expected results are to decrease the incidence of injury, illness and death that occur in the child care environment; improve the integration of health concepts in child care settings through direct consultation with child care providers; and identify and make referral of infants and toddlers, ages birth to three years who are potentially eligible for Alabama's Early Intervention System.

TANF/ Employment services/workforce development:

The Department is also the lead agency for the TANF program. The Department's TANF program (referred to as Family Assistance) and the Department's work and training program (referred to as the JOBS program) are closely coordinated with workforce development programs and other employment and training programs administered through the Department of Labor, the Employment Service, and the Alabama Department of Economic and Community Affairs. The ongoing close coordination between the Family Assistance program, JOBS program and the CCDF program has resulted in a more effective, efficient and seamless delivery of services to parents.

Public education:

The Department coordinates with the Alabama Department of Education to provide quality extended-day services for school age children through grants awarded to Local Education Agencies. Funds target rural areas and low-performing school sites. The Department's coordination also includes serving on the Advisory Panel for the 21st Century Community Learning Centers. The panel reviews applications and sets criteria for agencies applying for funding. The goal of this program and agency coordination is to integrate strategies that enhance the quality of care in extended-day child care setting.

Indian Tribes/Tribal Organizations:

The Tribal Organization in Alabama is the Poarch Band of Creek Indians. Representatives for the Poarch Creek Indians are actively participating in the Early

Learning Guidelines Advisory Committee and the Professional Development Team. The Department coordinated with the Poarch Band of Creek Indians in developing criteria in the Market Rate Survey that meets the needs of each agency while implementing only one survey within the provider community. The Department coordinated with the Poarch Creek Indians to ensure Department sponsored training was targeted to providers serving the tribal community.

State Pre-K programs:

The Department coordinates with the Department of Children's Affairs, (DCA) which is charged with coordinating all services for children from birth to age 19. This coordination has resulted in enhanced delivery of child care services, including quality services. Housed within DCA is the Office of School Readiness. This agency provides funding to 188 Pre-K sites across the state thereby increasing the availability of quality child care programs for families. The Department coordinates with the Office of School Readiness, other state agencies, community non-profit agencies and business, to plan and sponsor, the Alabama Pre-K Conference. The Department funds the cost of Quality Enhancement Agency trainers to present at the conference and participate as conference facilitators. DCA staff participates in the planning and development of the Alabama Early Learning Guidelines and the Alabama Professional Development Plan.

Head Start programs:

Also housed within the Department of Children's Affairs is the Head Start Collaboration Office. The Department's relationship with the Head Start Collaboration office allows for continuity of services for Head Start children. The Head Start Collaboration Office and the Alabama Head Start Association are actively participating in the planning and development of the Alabama Early Learning Guidelines and the Alabama Professional Development Plan.

Programs that promote inclusion for children with disabilities:

In partnership with United Cerebral Palsy (UCP) of Huntsville and Tennessee Valley and five (5) other UCP teams, training, technical assistance and consultation are provided to support providers in increasing the quality of care for children with special needs and to support parents in their role as the first and primary teachers of their children.

NOTE: Each committee in the above coordination determines the meeting schedule. State level agency meetings generally occur quarterly. Other meetings vary from a once per month schedule to a quarterly schedule.

2.1.2 Emergency Preparedness and Response Plan for Child Care and Early Childhood Programs. Lead Agencies are encouraged to develop an emergency preparedness and response plan for child care and other early childhood programs operating in the State/Territory. The plan should include provisions for continuity of services and child care assistance payments to families and providers in the event of an

emergency or disaster. Indicate which of the following best describes the current status of your efforts in this area. **Check only ONE.**

- ☐ **Planning.** Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.
- ☐ **Developing.** A plan is being drafted. Include the plan as Attachment 2.1.2, if available.
- ☐ **Developed.** A plan has been written but has not yet been implemented. Include the plan as Attachment 2.1.2, if available.
- ☐ **Implementing.** A plan has been written and is now in the process of being implemented. The plan is included as Attachment 2.1.2.
- ☒ **Other. Describe:**

The Department has prepared an Emergency Welfare Services Disaster Response Plan. The plan is for all Department services and is included as Attachment 2.1.1.

a) Describe the progress made by the State/Territory in planning for an emergency or disaster event with regards to the operation of child care and early childhood education programs.

b) Describe provisions the Lead Agency has in place for the continuation of core child care functions during and after a disaster or emergency.

c) Describe efforts the Lead Agency has undertaken to provide resources and information to families and child care providers about ways to plan and prepare for an emergency or disaster situation.

d) Describe how the Lead Agency is coordinating with other State/Territory agencies, private, and/or non-profit charitable organizations to ensure that child care and early childhood programs are included in planning, response, and recovery efforts.

2.1.3 Plan for Early Childhood Program Coordination. Lead Agencies are encouraged to develop a plan for coordination across early childhood programs. **Indicate** which of the following best describes the current status of your efforts in this area. **Note: Check only ONE.**

- ☒ **Planning.** Are there steps under way to develop a plan?

There is no written state plan for coordination, however, the Department continues to coordinate on early care and education and other child related issues with several agencies. See responses in Section “a” and Section “b”.

☐ Yes, and **describe** the time frames for completion and/or implementation, the steps anticipated, and how the plan is expected to support early language, literacy, pre-reading and early math concepts.

☐ No.

- ☐ **Developing.** A plan is being drafted. Include the draft as **Attachment 2.1.3** if available.
- ☐ **Developed.** A plan has been written but has not yet been implemented. Include the plan as **Attachment 2.1.3** if available.
- ☐ **Implementing.** A plan has been written and is now in the process of being implemented. Include the plan as **Attachment 2.1.3**.
- ☐ **Other (describe):**

a) Describe the progress made by the State/Territory in planning for coordination across early childhood programs since the date of submission of the 2008-2009 State Plan.

b) Indicate whether there is an entity that is, or will be, responsible for ensuring that such coordination occurs. Indicate the four or more early childhood programs and/or funding streams that are coordinated and describe the nature of the coordination.

The Department of Children’s Affairs (DCA) has been designated as the coordinator of children’s programs throughout the state. Within this agency are the Head Start Collaboration Office, the Office of School Readiness, which oversees State funded Pre-K sites, and the Children’s Policy Council. The expected results of these coordination efforts is to bring existing early childhood services into an effective system that optimizes a child’s healthy development and school readiness and guide the process of coordinating existing education and professional development systems for providers. The significant progress Alabama has made with the Early Learning Guidelines and Professional Development Plan will be integral in continued coordination that is anticipated through the development of a state Plan for Early Childhood Program Coordination.

c) Describe the results or expected results of this coordination. Discuss how these results relate to the development and implementation of the State/Territory's early learning guidelines, plans for professional development, and outcomes for children.

d) Describe how the State/Territory's plan supports, or will support, continued coordination among the programs. Are changes anticipated in the plan?

There is no written state plan for coordination, however, the Department continues to coordinate on early care and education and other child related issues with several agencies. These agencies are the Department's TANF program, the State Pre-K program through the Department of Children's Affairs, Office of School Readiness, Head Start programs through the Head Start Collaboration Office and local Head Start grantee agencies, public school programs through the State Department of Education, and the Blueprint for Zero to Five Advisory committee which developed from the State Early Childhood Comprehensive Systems (SECCS) initiative . The expected results of the coordination is an increase in the availability of quality child care services throughout the state and reduction in barriers to parent's ability to access quality care. Coordination with the TANF agency is allowing the Department to establish more consistent eligibility rules for the CCDF and TANF funded child care services and ensure that former TANF recipients can access child care and thereby avoid returning to TANF assistance. Coordination with the Head Start Collaboration Office and local Head Start agencies allows for access to "wrap around" services for children who attend a Head Start center for part of the day. Coordination with the State Department of Education is expanding the availability of quality after-school and extended care setting for school-age children.

As a state plan for program coordination is developed; the Department anticipates continued coordination and support of the above agencies.

2.2 Public Hearing Process

Describe the Statewide/Territory-wide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan.

(658D(b)(1)(C), §98.14(c)) At a minimum, the description must provide:

a) Date(s) of notice of public hearing: April 8, 2009

b) Manner of notifying the public about the public hearing:

Notice of the hearing was advertised in Alabama's eight largest newspapers. The notice advised of the date and location of the public hearing. To reinforce the notification process, notice of the public hearing was sent to the Department's 67 county offices, Child Care Management Agencies, and Quality Enhancement Agencies to facilitate broad access by the public. These agencies gave notice of the hearing through their newsletters and/or other communication with parents and providers.

c) Date(s) of public hearing(s): May 6, 2009

d) Hearing site(s):

Auditorium of the Gordon Persons Building, 50 Ripley Street, Montgomery, Alabama

e) How the content of the plan was made available to the public in advance of the public hearing(s): **A draft copy of the Plan could be reviewed at any local County Department of Human Resources, Child Care Management Agency and Quality Enhancement Agency. The draft of the plan was also made available on the Department's web site.**

f) **Attach** a brief summary of the public comment process as **Attachment 2.2**. **Interested parties have until May 29, 2009 to submit comments regarding the plan. Written comments may be submitted to Alabama Department of Human Resources, Child Care Services Division, P.O. Box 304000, Montgomery, AL 36130.**

2.3 Public-Private Partnerships

Does the Lead Agency conduct or plan to conduct activities to encourage public-private partnerships that promote private-sector involvement in meeting child care needs?

☒ Yes. If yes, **describe** these activities or planned activities, including the results or expected results.

The State's relationship with the CMAs and QEAs is our best example of public-private partnerships. This relationship has allowed the Department to expand its resources in the child care arena. The Department collaborates with the Alabama Partnership for Children (APC), a private non-private agency, to fund the TEACH Early Childhood Program. This program, along with the Department's relationship with community colleges, has allowed the Department to increase training and educational opportunities for providers. The Department's relationship with United Cerebral Palsy of Huntsville and Tennessee Valley allows the Department to more effectively address the child care issues of children with special needs. An ongoing relationship with the Child Care Resource Center, Employer's Child Care Alliance promotes an increase in the number of corporate partners that support quality initiatives in child care. The Kids and Kin project, in partnership with the Family Guidance Center of Alabama, addresses the needs of children in relative care and promotes strategies to increase the quality of care provided by relatives. Center and home child care providers are active members of the Department's Professional Development Team and Early Learning Guidelines Advisory Committee.

☐ No.

PART 3

CHILD CARE SERVICES OFFERED

3.1 Description of Child Care Services

3.1.1 Certificate Payment System. **Describe** the overall child care certificate process, including, at a minimum:

- a) a description of the form(s) of the certificate (§98.16(k)):

Child Care Subsidy Services are authorized using a Certificate of Child Care Services (Certificate). The Certificate is a negotiable instrument with which the parent can purchase child care services from any legally operating child care provider who is currently registered with the Child Care Management Agency (CMA). Legally operating care include a variety of provider types including licensed center care, licensed family and group day care homes, relative care and exempt from licensure child care.

- b) a description of how the certificate permits parents to choose from a variety of child care settings by explaining how a parent moves from receipt of the certificate to choice of the provider; (658E(c)(2)(A)(iii), 658P(2), §98.2, §98.30(c)(4) & (e)(1) & (2))

Parents who have not chosen a provider at the point eligibility is determined are issued a Pre-Certificate of Child Care (shopping card). The parent is allowed ten (10) calendar days to select and enroll the child with a provider. Parents may choose from any legally operating child care provider. Additional time may be given if the parent indicates difficulty finding a provider that meet their child care needs. The case record includes a Parent Agreement which is given to the parent to sign at the time of application. The caseworker gives an explanation of parental choice to the parent at application and each time the parent requests to change providers. Guidance for caseworkers regarding parental choice is included in the policy manual. Also information is found on the Parent Agreement and Parental Choice form. A copy of the Parent Agreement and the Parental Choice form is in the Policy Manual.

Caseworkers at CMA agencies provide a list of legally operating providers to parents at the parent's request. This list is obtained from the Department's Resource and Referral system or from CMA agency software. QEA agencies, that are resource and referral agencies, may also provide parents with list of legally operating providers. Resource and referral information is available for all parents not just subsidy parents.

- c) if the Lead Agency is also providing child care services through grants and contracts, **estimate** the proportion of §98.50 services available through certificates versus grants/contracts (this may be expressed in terms of dollars, number of slots, or percentages of services), and **explain** how the Lead Agency ensures that parents offered child care services are given the option of receiving a child care certificate. (§98.30(a) & (b)).

The Department does not provide services through grants and contracts. All services are authorized through a child care certificate.

- d) **Attach** a copy of your eligibility worker's manual, policy handbook, administrative rules or other printed guidelines for administering the child care subsidy program as **Attachment 3.1.1.**

Note: If these materials are available on the web, the Lead Agency may provide the appropriate Web site address in lieu of attaching hard copies to the Plan.

3.1.2 In addition to offering certificates, does the Lead Agency also have grants or contracts for child care slots?

☐ Yes, and **describe** the type(s) of child care services available through the grant or contract, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b))

☒ No.

3.1.3 Are child care services provided through certificates, grants and/or contracts offered throughout the State/Territory? (658E(a), §98.16(g)(3))

☒ Yes.

☐ No, and **identify** the localities (political subdivisions) and services that are not offered:

3.1.4 The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use. Does the Lead Agency limit the use of in-home care in any way?

☒ Yes, and the limits and the reasons for those limits are (§§98.16(g)(2), 98.30(e)(1)(iv)):

In-home care is restricted only to the extent that the Department requires that such care be provided in compliance with applicable Fair Labor Standards Act (FLSA). As an employer under the FLSA, a parent who chooses this type of care is solely responsible for assuring that all applicable FLSA requirements are met, including but not limited to paying any difference between the CCDF subsidy and the amount needed to comply with the minimum wage requirement. Parents and providers are given a notice of FLSA requirement for in-home care whenever an in-home provider is chosen by the parent.

☐ No.

3.2 Payment Rates for the Provision of Child Care

The statute at 658E(c)(4) and the regulations at §98.43(b)(1) require the Lead Agency to establish payment rates for child care services that ensure eligible children equal access to comparable care.

3.2.1 Provide a copy of your payment rates as **Attachment 3.2.1**. The attached payment rates were or will be effective as of: **October 1, 2009**.

Payment rates effective for October 1, 2009 are provided as Attachment 3.2.1.

3.2.2 Are the attached payment rates provided in Attachment 3.2.1 used in all parts of the State/Territory?

☒ Yes.

☐ No, and other payment rates and their effective date(s) are provided as **Attachment 3.2.3**.

3.2.3 Provide a summary of the facts relied on by the State to determine that the attached rates are sufficient to ensure equal access to comparable child care services provided to children whose parents are not eligible to receive child care assistance under the CCDF and other governmental programs. Include, at a minimum:

a) The month and year when the local market rate survey(s) was completed (§98.43(b)(2)):

The Market Rate survey is in process.

b) A copy of the **Market Rate Survey instrument** and a summary of the results of the survey are provided as **Attachment 3.2.3**. At a minimum, this summary

should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.

The Market Rate Survey instrument and the summary of the results is included as Attachment 3.2.3 and 3.2.3(a)

3.2.4 Does the Lead Agency use its current Market Rate Survey (a survey completed within the allowable time period –10/1/07 -9/30/09) to set payment rates?

☒ Yes.

☐ No.

3.2.5 At what percentile of the current Market Rate Survey is the State payment rate ceiling set?

Note: If you do not use your current Market Rate Survey to set your rate ceilings or your percentile(s) varies across categories of care (e.g., type of setting, region, or age of children), **describe** and provide the range of variation in relation to your current survey.

Percentile rate varies by region, age of child, and type of child care setting. The percentile ranges from the 42nd percentile to average of 10th percentile of the 2007 market rate survey. Maximum reimbursable rates for center care and family and group home day care are set such that rates are within \$15 of the average region rate determined by the 2009 market rate survey.

3.2.6 Describe the relationship between the attached payment rates and the market rates observed in the current survey, including at a minimum how payment rates are adequate to ensure equal access to the full range of providers based on the results of the above noted local market rate survey: (§98.43(b))

The Market Rate Survey conducted by the Department collected rate data for licensed and legally operating providers (excluding relative and in-home care providers). The data was then filtered by type of provider (Centers, Family Day Care Homes, and Group Day Care Homes); by care level (Infant/Toddler, Preschool, School-age); and by Child Care Management Agency region. Maximum reimbursable rates for center care and family and group home day care are set such that rates are within \$15 of the average region rate determined by the 2007 market rate survey.

3.2.7 Does the Lead Agency consider any additional facts to determine that its payment rates ensure equal access? (§98.43(d))

☐ Yes. If, yes, **describe**.

☒ No.

3.2.8 Does the State have any type of tiered reimbursement or differential rates?

☐ Yes. If yes, **describe**:

☒ No.

3.2.9 Describe how the Lead Agency ensures that payment rates do not exceed the amount paid by the general public for the same service. (§98.43(a))
Child Care providers must register to participate in the Child Care Subsidy Program. Part of the registration process includes the submission of rates published and charged to the general public.

3.3 Eligibility Criteria for Child Care

3.3.1 Age Eligibility

a) Does the Lead Agency allow CCDF-funded child care for children above age 13 but below age 19 who are physically and/or mentally incapable of self-care? (658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

☒ Yes. If yes, **define** physical and mental incapacity in Appendix 2, and **provide** the upper age limit.

The upper age limit is 18

☐ No.

b) Does the Lead Agency allow CCDF-funded child care for children above age 13 but below age 19 who are under court supervision? (658P(3), 658E(c)(3)(B), §98.20(a)(1)(ii))

☐ Yes, and the upper age is _____

☒ No.

3.3.2 Income Eligibility

Complete columns (a) and (b) in Table 3.3.2 below based upon initial entry into the CCDF program. Complete Columns (c) and (d) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85% of the SMI.

Table 3.3.2 Income Eligibility

Family Size	(a) 100% of State Median Income (SMI) (\$/month)	(b) 85% of State Median Income (SMI) (\$/month) [Multiply (a) by 0.85]	IF APPLICABLE	
			Income Level if lower than 85% SMI	
			(c) \$/month	(d) % of SMI [Divide (d) by (a), multiply by 100]
1	\$2,613	\$2,221	\$1,173/	45%
2	\$3,417	\$2,904	\$1,578	46%
3	\$4,221	\$3,588	\$1,984	47%
4	\$5,025	\$4,271	\$2,389	48%
5	\$5,829	\$4,954	\$2,794	48%

Note: Table 3.3.2 should reflect maximum eligibility upon initial entry into the CCDF program.

a) Does the Lead Agency have “tiered eligibility” (i.e., a separate income limit for remaining eligible for the CCDF program)?

☒ Yes. If yes, **provide** the requested information from Table 3.3.2 and **describe**. **Note:** This information can be included in a separate table, or by placing a “/” between the entry and exit levels.

Families may remain eligible until income reaches 150% of the FPL.

Family Size	Entry Income	Exit Income
1	\$1,173/	\$1,354
2	\$1,578	\$1,821
3	\$1,984	\$2,289
4	\$2,389	\$2,756
5	\$2,794	\$3,224

☐ No.

b) If the Lead Agency does not use the SMI from the most current year, **indicate** the year used:

The Department uses the current year SMI.

c) These eligibility limits in column (c) became or will become effective on:

October 1, 2009

d) How does the Lead Agency define “income” for the purposes of eligibility?
Provide the Lead Agencies definition of “income” for purposes of eligibility determination. (§§98.16(g)(5), 98.20(b))

See Attachment 3.3.2. Eligibility for services is based on gross income. Income not specifically listed in Attachment 3.3.2 is not considered for purposes of determining eligibility.

e) Is any income deducted or excluded from total family income (e.g., work or medical expenses; child support paid to, or received from, other households; Supplemental Security Income (SSI) payments)?

☒ Yes. If yes, **describe** what type of income is deducted or excluded from total family income.

Child Support that is received as a result of state or federal tax offset is excluded from total family income.

☐ No.

f) **Describe** whose income is excluded for purposes of eligibility determination.

3.3.3 Work/Job Training or Educational Program Eligibility

a) How does the Lead Agency define “working” for the purposes of eligibility?
Describe the specific activities that are considered “working” for purposes of eligibility determination, including minimum number of hours. (§§98.16(f)(6), 98.20(b))

For the purposes of eligibility a client must be employed for a minimum average of 15 hours per week (either alone or in combination with a job training or educational program) in any legally operating place of business from which the parent receives wages, salaries, commissions and tips equal to, or greater than, the federal minimum wage.

b) Does the Lead Agency provide CCDF child care assistance to parents who are attending job training or an educational program?

☒ Yes. If yes, how does the Lead Agency define “attending job training or educational program” for the purposes of eligibility? **Describe**, the specific activities that are considered “job training and/or educational program”, including minimum number of hours.
(§§98.16(f)(3), 98.20(b))

For purposes of eligibility a client must attend and satisfactorily participate in a job training or educational program, either alone or in combination with gainful employment, for a minimum average of 15 hours per week. (Students

enrolled full-time in an educational program, in accordance with the institution's definition of full-time are deemed to meet this requirement.)

☐ No.

3.3.4 Eligibility Based Upon Receiving or Needing to Receive Protective Services

a) Does the Lead Agency provide child care to children in protective services? (§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))

☒ Yes. If yes, **provide** a definition of "protective services" in Appendix 2. Does the Lead Agency waive, on a case-by-case basis, the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

☒ Yes.

☐ No.

☐ No.

b) Does the Lead Agency provide CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities? (§§98.20(a)(3)(ii), 98.16(f)(7))

☐ Yes. (**NOTE:** This means that for CCDF purposes the Lead Agency considers these children to be in protective services.)

☒ No.

3.3.5 Additional Conditions for Determining CCDF Eligibility

Has the Lead Agency established any additional eligibility conditions for determining CCDF eligibility? (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

☒ Yes, and the additional eligibility conditions are: (Terms must be defined in Appendix 2)

A client who is participating in an approved TANF work activity or whose family assistance is terminated due to employment is guaranteed a child care slot in order to maximize their efforts to achieve self-sufficiency. Clients who are "at risk" of welfare dependency are served as funds are available and waiting lists are established to facilitate serving those families on a first-come first-served basis.

☐ No.

3.4 **Priorities for Serving Children and Families**

3.4.1 At a minimum, CCDF requires Lead Agencies to give priority for child care services to children with special needs, or in families with very low incomes. **Complete** Table 3.4.1 below regarding eligibility priority rules. For columns (a) through (c), **check** only one box if reply is “Yes”. Leave blank if “No”. **Complete** column (e) only if you check column (d). **Alabama chooses to refer to the designations as priority eligibility and not a guaranteed eligibility.**

Table 3.4.1 Priorities for Serving Children

	How does the Lead Agency prioritize the eligibility categories in Column 1? CHECK ONLY ONE			CHECK ONLY IF APPLICABLE	
Eligibility Categories	(a) Priority over other CCDF-eligible families	(b) Same priority as other CCDF-eligible families	(c) Guaranteed subsidy eligibility	(d) Is there a time limit on the priority or guarantee?	(e) How long is time limit?
Children with special needs*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Children in families with very low incomes*	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Families <u>receiving</u> Temporary Assistance for Needy Families (TANF)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Families transitioning from TANF	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	6 months from TANF ineligibility
Families at risk of becoming dependent on TANF	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

* **Required**

3.4.2 Describe how the Lead Agency prioritizes service for the following CCDF-eligible children: (a) children with special needs, (b) children in families with very low incomes, and (c) other. Terms must be defined in Appendix 2. (658E(c)(3)(B))

The Department prioritizes services to CCDF eligible children in the following manner:

- 1. Children of families participating in the TANF JOBS program.**
- 2. Children of families eligible for Transitional Child Care.**
- 3. Children with special needs.**
- 4. Children of non-TANF minor parents who are pursuing a high school diploma or GED (categorized as “b” in the above matrix).**
- 5. Children of families at risk of becoming dependent on TANF assistance**

3.4.3 Describe how CCDF funds will be used to meet the needs of: (a) families receiving Temporary Assistance for Needy Families (TANF), (b) those attempting to transition off TANF through work activities, and (c) those at risk of becoming dependent on TANF. (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

A client who is participating in an approved TANF work activity or whose family assistance is terminated due to employment is given priority for a child care slot in order to maximize their efforts to achieve self-sufficiency. Clients who are “at risk” of welfare dependency are served as funds are available and waiting lists are established to facilitate serving those families on a first-come first-served basis.

3.4.4 Has the Lead Agency established additional priority rules that are not reflected in the table completed for Section 3.4.1? (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

☐ Yes, and the additional priority rules are: **(Terms must be listed and defined in Appendix 2)**

☒ No.

3.4.5 Does the Lead Agency serve all eligible families that apply?

☐ Yes.

☒ No.

3.4.6 Does the Lead Agency have a waiting list of eligible families that they are unable to serve?

☒ Yes. If yes, **describe**. At a minimum, the description should indicate:

a) Whether the waiting list is maintained for all eligible families or for certain populations?

When funding is not sufficient to serve all children eligible for care, a waiting list is established. A waiting list is maintained for certain populations. Those populations are income eligible families who are working or participating in an education or training activity and do not meet a priority criteria.

The following categories of children are not subject to the waiting list:

- **Children of families participating in the TANF JOBS program.**
- **Children of families eligible for Transitional Child Care.**
- **Children in need of protective service**
- **Children in foster care**
- **Children of non-TANF minor parents who are pursuing a high school diploma or GED**

b) Whether the waiting list is maintained for the entire State/Territory or for individual localities?

- **The waiting list is maintained by geographical Child Care Management Agency (CMA) regions. Waiting lists are maintained on a first come first served basis. As funding becomes available, children are served in the order in which they were placed on the waiting list.**

c) What methods are employed to keep the list current?

Each family on the waiting list is assessed at 6-month intervals to determine if the child remains in need of and eligible for services.

☐

No.

3.5 Sliding Fee Scale for Child Care Services

3.5.1 The statute and regulations require Lead Agencies to establish a sliding fee scale that varies based on income and the size of the family to be used in determining each family's contribution (co-payment) to the cost of child care (\$98.42).

a) **Attach** the sliding fee scale as **Attachment 3.5.1**.

b) **Describe** how the sliding fee scale is administered, including how the family's contribution is determined and how the co-payment is assessed and collected:

c) The attached sliding fee scale was or will be effective as of _____
October 1, 2009

d) Does the Lead Agency use other factors in addition to income and family size to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

- ☒ Yes, and **describe** those additional factors:
Children who attend care part-time pay one-half of the applicable full-time fee.
- ☐ No.

3.5.2 Is the sliding fee scale provided as Attachment 3.5.1 used in all parts of the State? (658E(c)(3)(B))

- ☒ Yes.
- ☐ No, and other scale(s) and their effective date(s) are provided as **Attachment 3.5.2.**

3.5.3 The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size, (§98.42(c)), and the poverty level used by the Lead Agency for a family of 3 is: \$

The Lead Agency must **select ONE** of these options:

- ☐ ALL families with income at or below the poverty level for a family of the same size **ARE NOT** required to pay a fee.
- ☐ ALL families, including those with incomes at or below the poverty level for families of the same size, **ARE** required to pay a fee.
- ☒ **SOME** families with income at or below the poverty level for a family of the same size **ARE NOT** required to pay a fee. **Describe** these families:
Families with income below 30% of the federal poverty level are not required to pay a fee. Certain Protective Service families on a case-by-case basis are not required to pay a fee.

3.5.4 Does the Lead Agency allow providers to charge parents the difference between the maximum reimbursement rate and their private pay rate?

- ☒ Yes.
- ☐ No.

3.5.5 Describe how the co-payments required by the Lead Agency's sliding fee scale(s) are affordable: (§98.43(b)(3))

The parental co-payments required by the Department are adjusted based on family size and income. The scale is designed to ensure a parent's contribution does not exceed 10% of the family's income. Current co-pays average 7.4% of a family's income.

DRAFT

PART 4

PARENTAL RIGHTS AND RESPONSIBILITIES

4.1 Application Process / Parental Choice

4.1.1 Describe the process for a family to apply for and receive child care services (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §98.16(k), 98.30(a) through (e)). At minimum, describe:

a) How parents are informed of the availability of child care services under CCDF (i.e., parental choice of child care services through a certificate or grant of contract)

b) How parents can apply for CCDF services

Clients who are “at risk” of welfare dependency go directly to the CMA for eligibility, resource and referral, and fee assessment. This is also the case with the client whose TANF Assistance terminates for a reason other than employment who within six (6) months of TANF termination, locates employment, and needs child care assistance.

Generally, clients are re-determined at six (6) month intervals. There are no variations in the re-determination timeframe for Head Start or Pre-K clients.

c) What documentation parents provide as part of their application to determine eligibility

Parents must provide documentation of all income, name of the employer, average employment hours, relationship to the child needing care, and hours of participation in an educational component, as applicable.

d) How parents who receive TANF benefits are informed about the exception to individual penalties as described in 4.4

The TANF case managers inform TANF recipients about the exceptions to individual penalties associated with work requirements at interviews for initial and continuing TANF eligibility.

e) What steps the Lead Agency has taken to reduce barriers to initial and continuing eligibility for child care subsidies

Clients who are “affiliated” with the Department (TANF recipients, protective services and foster care cases) receive limited information from their case managers about child care options. Once these clients contact the CMA, they receive consumer education and all options and choices are explained to the clients. The protective services and foster care case managers refer these cases, based on need, to the CMAs for eligibility determination. The TANF case managers make the potential eligibility determination for TANF cases and refer the case to the CMA case managers for actual eligibility determination.

The Department, through its case managers, maintains some control over the child care options for some protective services and foster care cases, due to the fragile nature of these children. If possible, however, these parents are allowed to choose from among the full range of legal child care settings. A client leaving TANF due to employment is referred to the CMAs by the JOBS case manager however, the CMA determines actual financial eligibility.

f) **Attach** a copy of your parent application for the child care subsidy program as **Attachment 4.1.1.**

The application is included as attachment 4.1.1. The parent application (English and Spanish version) is available on the Department's web site at www.dhr.alababama.gov.

4.1.2 Is the application process different for families receiving TANF?

☒ Yes, and **describe** how the process is different:
The TANF case managers make the potential eligibility determination for TANF cases and submit a referral for services to the CMA case managers for actual eligibility determination. The client is not required to have a face-to-face interview. Information already received by the TANF case manager is deemed as verified by the child care case manger therefore the parent is not required to again verify the information.

☐ No.

4.1.3 What is the length of eligibility period upon initial authorization of CCDF services?
The length of the eligibility period for initial authorization of services is 6 months.

a) Is the initial authorization for eligibility the same for all CCDF eligible families?

☒ Yes.

☐ No and **describe** any variations that relate to the services provided (e.g., through collaborations with Head Start or pre-kindergarten programs or differences for TANF families):

4.1.4 Describe how the Lead Agency ensures that parents are informed about their ability to choose from among family child care and group home child care, center-based care and in-home care, including faith-based providers in each of these categories.

Parental choice is explained to parents at application and each time the parent wishes to change child care Providers. When the parent requests to change providers they are given a Parental Choice form which explains their right to choose from among all legally operating child care providers. A statement explaining the parent's ability to choose from among all categories of legally operating child care is included on the Parent Agreement which the parent receives at each application.

4.1.5 Describe how the Lead Agency reaches out and provides services to eligible families with limited English proficiency, including how the Lead Agency overcomes language barriers with families and providers.

The child care application and all major forms have been translated into Spanish. The Department has application and general child information (FACT SHEET) on the web site in Spanish. CMA agencies are authorized to provide interpreters for families as needed. In addition the Department can utilize the services of Language Line. This phone service interprets in several languages that case managers can utilize during a child care interview.

4.2 Records of Parental Complaints

Describe how the Lead Agency maintains a record of substantiated parental complaints about providers and makes substantiated parental complaints available to the public on request. (658E(c)(2)(C), §98.32)

The parental complaint process for all licensed care in the State is regulated under the Alabama Administrative Procedures Act, which provides for release to any requesting adult all substantiated complaints in regard to licensing violations, not including certain privileged and/or confidential information. Information on center care is available from the State Department of Human Resources. Family and Group Home Care information is available from the 67 individual County Departments.

For care that is exempt from licensure, the CMAs or the various licensing units of the Department act as "intake" points. Since there is no "legal access" to providers exempt from licensure, no investigation is conducted; Therefore, neither party actually makes a determination of "substantiation" of the complaint. Instead, if the complaint is made to the Department, it is referred to the appropriate legal entity (District Attorney). If the CMA receives the complaint, the parent is given a form upon which to note complaints. This form is forwarded to the provider who is allowed and encouraged to make a rebuttal. Such response is shared with the parent making the complaint, kept on file at the CMA for release upon request, and forwarded to the appropriate Department licensing unit, where it is then referred to the appropriate legal entity.

The Departments handle complaints regarding licensing violations and child abuse, neglect, and/or exploitation. On-site investigations may be made in these instances.

4.3 Unlimited Access to Children in Child Care Settings

Provide a detailed description of the Lead Agency procedures for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds. (658E(c)(2)(B), §98.31))

For licensed care, the appropriate Minimum Standards requires such access for parents for ALL, not just CCDF-funded care. Verification of this is a part of the regulatory visits made by licensing consultants of the Department. The Provider Registration Form contains this requirement for CCDF funded care. Additional written materials are made available to these providers by the CMA whenever they are to be used for the first time by a family receiving subsidized care, and at other appropriate times. In addition, CCDF-funded families are informed of their rights in this respect during consumer education at the CMA and whenever they change providers. Families are encouraged to visit at various times while their child is in care.

4.4 Criteria or Definitions Applied by TANF Agency to Determine Inability to Obtain Child Care

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care:

NOTE: The TANF agency, not the Child Care Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record. The TANF agency that established these criteria or definitions is: **Alabama Department of Human Resources**

- "appropriate child care":
TANF policy considers child care services to be appropriate if they are rendered by a child care provider legally authorized under applicable federal and state laws, regulations and requirements to provide such services and who has been selected to provide such services in accordance with parental choice safeguards.

- "reasonable distance":

TANF policy considers “reasonable distance” to be a distance that requires travel of no more than 2 hours per day.

- "unsuitability of informal child care":

TANF policy considers informal child care to be suitable only to the extent such care is provided within the constraints of applicable federal and state laws, regulations and requirements.

- "affordable child care arrangements":

TANF policy does not require recipients to engage in work activities unless child care is accessible and is provided at no charge to the client or the Department subsidizes the cost of the care. The policy does not subject such recipients to a sanction or other penalty unless these criteria are met.

DRAFT

PART 5

ACTIVITIES & SERVICES TO IMPROVE THE QUALITY AND AVAILABILITY OF CHILD CARE

5.1 Quality Targeted Funds and Set-Asides

Federal appropriations law has targeted portions of the CCDF for quality improvement and for services for infants and toddlers, child care resource and referral (CCR&R) and school-age child care. For each targeted fund, provide the following information.

5.1.1 Infants and Toddlers:

Note: For the infant and toddler targeted funds, the Lead Agency must **provide** the maximum age of a child who may be served with such targeted funds (not to exceed 36 months).

The Department defines the maximum age for infant/toddler as 36 months

- a) **Describe** the activities provided with these targeted funds
Imbedded within training targeted to specific categories of caregivers (Center providers, home providers, relative providers) are workshops, courses and programs that focus on infant and toddler care for children from birth through two and a half years in all applicable provider settings.
- **Several Quality Contractors collaborate with Alabama Public Television to offer training through the *Right From Birth: A Parenting Series* distance learning project that is targeted at parents and caregivers of children from birth to 18 months.**
 - **Childcare Resources implements the Infant Toddler Priority Outreach initiative that concentrates on improving infant toddler care by providing on-site assessment, consultation, training and support to infant and toddler classrooms in child care centers serving children from birth through two and a half years.**
 - **Family Guidance Center offers targeted support to Infant/Toddler caregivers through two series of training: *Explore and Learn with Infants* and *Learn and Grow with 1's and 2's*. Both of these series include six 2-hour interactive, hands-on sessions that address topic unique to infants and toddlers.**
- b) **Identify** the entities providing the activities
The Department utilizes CCDF funds to offer infant and toddler training through Child Care Quality Enhancement Agencies (QEA). These Agencies include four of the five Child Care Management Agencies (CMA). Agencies that provide infant/toddler services with targeted funds are the Alabama Department of Public Health/Healthy Child Care Alabama, Family Guidance Center/Kids and Kin Program, Auburn University/Family Child

Care Partnerships, Northwest-Shoals Community College/Training and Book Distribution, United Cerebral Palsy/Inclusion Project, Alabama Public Television/Ready To Learn, Alabama Department of Postsecondary Education/Leadership in Child Care Scholarship Program, and Alabama Partnership for Children/T.E.A.CH. Early Childhood® Alabama.

c) **Describe** the expected results of the activities.

The result of these activities is increased caregiver understanding of infant/toddler development and improvement in caregiver's skills in providing quality care for infants and toddlers.

5.1.2 Resource and Referral Services:

a) **Describe** the activities provided with these targeted funds

b) **Identify** the entities providing the activities

c) **Describe** the expected results of the activities.

The five (5) regional Child Care Management Agencies (CMAs), Childcare Education Resources, Childcare Resources, Childcare Resource Network and GRCMA Early Childhood Directions provide resource and referral services for the Department's clients, and public resource and referral is provided upon request. A couple of these agencies have non-Departmental funding to provide comprehensive resource and referral services.

The above activity has been underway for several years. The result of this activity is centralized, community level access points for parents seeking information about legally operating providers.

5.1.3 School-Age Child Care:

a) **Describe** the activities provided with these targeted funds

b) **Identify** the entities providing the activities

c) **Describe** the expected results of the activities.

The Department collaborates with the Alabama Department of Education to provide a statewide program for quality school-age child care through grants awarded to Local Education Agencies (LEAs) utilizing public school facilities. The grants are for LEAs to develop, expand and/or improve extended day/extended year programs that offer before and after school, summer, and school holiday care.

The activities provided with these funds include:

***Child Development:* provide extra learning time and educationally enriched environment.**

***Health and Safety:* focus on the health and safety of individual students and their families.**

Inclusion: No child will be denied participation in the program, and sub grantees are encouraged to reach out and meet the needs of families and students needing this out-of-school time service.

Parent Involvement: Family involvement is a hallmark of the project.

Professional Development: Training will take place in three regional workshops collaborating with the Alabama Community Education Association three-day annual training.

Reaching Diverse Child Populations: this project allows additional learning and interaction time in a more relaxed environment than the regular classroom and is open to all students, including those with diverse cultural backgrounds.

The results of this activity is an expansion in the number of extended day and extended year programs that offer before and after school, summer, and holiday care for school-age children.

5.1.4 The law requires that not less than 4% of the CCDF be set aside for quality activities. (658E(c)(3)(B), 658G, §§98.13(a), 98.16(h), 98.51) The Lead Agency estimates that the following amount and percentage will be used for the quality activities (not including targeted funds) during the 1-year period: October 1, 2009 through September 30, 2010:

\$3,788,534.68 (4%)

5.1.5 Check each activity in Table 5.1.5 that the Lead Agency will undertake to improve the availability and quality of child care (include activities funded through the 4% quality set-aside as well as the targeted funds for quality activities). (658D(b)(1)(D), 658E(c)(3)(B), §§98.13(a), 98.16(h)). **CHECK ALL THAT APPLY.**

The following activities are performed by Quality Enhancement Agencies (QEA). QEAs include governmental and non-governmental entities. See Attachment 5.1.5 for a detail listing of agencies including their governmental or nongovernmental status.

Table 5.1.5 Activities to Improve the Availability and Quality of Child Care

Activity	Check if undertaking/ will undertake	Name and type of entity providing activity	Check if non-governmental entity
Comprehensive consumer education	<input checked="" type="checkbox"/>	QEAs	<input checked="" type="checkbox"/>
Grants or loans to providers to assist in meeting State and local standards	<input checked="" type="checkbox"/>	Alabama Partnership for Children Family Guidance Center Childcare Resources Auburn Univ. Family Child Care Child Care Resource Ctr.	<input checked="" type="checkbox"/>
Monitoring compliance with licensing and regulatory requirements	<input checked="" type="checkbox"/>	Alabama Department of Human Resources (DHR)	<input type="checkbox"/>
Professional development, including training, education, and technical assistance	<input checked="" type="checkbox"/>	QEAs; DHR	<input checked="" type="checkbox"/>
Improving salaries and other compensation for child care providers	<input checked="" type="checkbox"/>	Alabama Partnership for Children	<input checked="" type="checkbox"/>
Activities to support a Quality Rating System	<input type="checkbox"/>		<input type="checkbox"/>
Activities in support of early language, literacy, pre-reading, and early math concepts development	<input checked="" type="checkbox"/>	QEAs	<input checked="" type="checkbox"/>
Activities to promote inclusive child care	<input type="checkbox"/>	United Cerebral Palsy of Huntsville and Tennessee Valley; Alabama Department of Public	<input checked="" type="checkbox"/>

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Activity	Check if undertaking/ will undertake	Name and type of entity providing activity	Check if non-governmental entity
		Health; QEAs	
Healthy Child Care America and other health activities including those designed to promote the social and emotional development of children	<input checked="" type="checkbox"/>	Alabama Dept of Public Health; QEAs	<input checked="" type="checkbox"/>
Other quality activities that increase parental choice, and improve the quality and availability of child care. (§98.51(a)(1) and (2))	<input checked="" type="checkbox"/>	QEAs	<input checked="" type="checkbox"/>

5.1.6 For each activity checked in Table 5.1.5, a) **describe** the expected results of the activity. b) If you have conducted an evaluation of this activity, **describe the results**. If you have not conducted an evaluation, **describe** how you will evaluate the activities.

Comprehensive Consumer Education: The primary focus is on parents participating in the Child Care Subsidy Program. Clients are provided information on types of care available, health and safety in child care settings, and how to identify a supportive, nurturing environment for their children. This is accomplished by videos shown in waiting rooms, brochures, health and safety checklists provided to the client, and individual consultation. Parental options are fully emphasized during the consumer education process.

The expected result is that parents will become better consumers and make intentional and informed choices about the care for their children.

Grants to Providers:

- The Department, in collaboration with some Quality Enhancement Agencies, offers grants/stipends to center and home providers to assist them in achieving national accreditation. Auburn University/Family Child Care Partnerships Project offers Equipment Grants to home providers working toward National Association for Family Child Care (NAFFC) accreditation.
- CMA/Child Care Resource Center offers Resource Development Grants, through the Employers' Child Care Alliance, to center providers participating in the STEPS to Accreditation program and working toward National Association for the Education of Young Children (NAEYC) accreditation.

- **Childcare Resources** offers material stipends to centers participating in the RISE Assistance to Accreditation program to make quality improvements in their programs. Childcare Resources also offers material stipends to centers participating in the Infant/Toddler Priority Outreach to assist caregivers in achieving their improvement goals.
- **Family Guidance Center of Alabama/Kids and Kin Relative Child Care Program** offers equipment stipends to relative child care providers after they have reached Levels I and II in the Voluntary Certification Program. Relative providers are offered training related to health and safety, child development, positive guidance, language development, parent/caregiver communication, and quality child care.

The expected results is an increase in the number and categories of providers that achieve national accreditation or increase their level of quality as measured by a nationally accepted scale of quality.

Monitoring of Compliance with Licensing and Regulatory Requirements: The Department performs licensing and regulatory functions and some quality funding is used for staffing for these functions. An increase in licensing staff has allowed the Department to offer more training and in-depth consultation with providers to assist them in meeting and maintaining licensing requirements, in addition to providing for more visits related to regulatory compliance.

The result is more consultation visits and Minimum Standards training sessions are available to child care providers prior to re-licensing visits.

Professional Development including Training, Education and Technical Assistance: A large portion of quality funding is used for provider training, education and technical assistance. All of the Department's 16 Quality Contractors (except one) offer support to center and home providers through training and technical assistance and/or opportunities to obtain formal education.

- The CMAs, Childcare Education Resources, Childcare Resources and GRCMA Early Childhood Directions provide training for center and home providers on a regular basis on a variety of topics to assist providers in obtaining the training needed to meet the Minimum Standards requirements.
- Training calendars are mailed at regular intervals – monthly, bi-monthly or quarterly - to licensed centers and homes, exempt centers and relatives caring for children being served through the Child Care Subsidy Program. The training is offered for free.
- The Department partners with Alabama Public Television to implement the Ready to Learn Project that focuses on helping families and child care providers extend the learning of PBS children's programming. The Ready to Learn

Project offers support and resources to trainers to conduct Ready to Learn workshops in their local communities.

- **Other Quality Contractors provide training and technical assistance upon request by an individual or group of providers, or in collaboration with the CMAs, Childcare Education Resources, Childcare Resources and GRCMA Early Childhood Directions. Several Quality Contractors also provide training for parents.**

Educational opportunities are provided through the Department's partnerships with the Alabama Department of Postsecondary Education, Alabama Partnership for Children, and Child Care Resource Center/Employers' Child Care Alliance.

- **The Alabama Department of Postsecondary Education administers the Leadership in Child Care (LICC) Scholarship Program, through which scholarship opportunities are provided for center directors and center teachers employed in legally operating facilities, and home providers who are interested in obtaining a Child Development Associate (CDA) credential, certificate or degree in a child development/early care and education from one of Alabama's community colleges.**
- **The Alabama Partnership for Children administers the T.E.A.CH. Early Childhood® Alabama Project, through which scholarship opportunities are provided for directors and teachers employed in licensed centers and home providers who are seeking a degree in a child development/early care and education program from one of Alabama's community colleges or need assistance in paying the CDA Assessment Fee.**
- **Child Care Resource Center works in conjunction with the Employers' Child Care Alliance in implementing the Quality Enhancement Partnership that has corporate/business support for providing scholarships to CDA recipients to obtain a degree in a child development/early care and education from a local community college.**

The results of these activities is an increase in the number of child care staff participating in training, an increase in the number of child care staff participating in training at higher levels (intermediate level, advanced level and college level training), and an increased in the number of child care staff who obtain credentials and/or degrees.

Improving Salaries and Other Compensation for Child Care Providers:

The Department supports improved compensation for teachers through funding of the T.E.A.CH. Early Childhood® Alabama Project through the Alabama Partnership for Children that provides bonuses to center teachers and home providers upon completion of one year contracts as they work toward obtaining the Associate degree or upon obtaining the CDA credential.

The results of this initiative is an increase in benefits and retention of child care staff and a general increase in number of child care staff with credentials or degrees.

Activities in Support of Early Language, Literacy, and Numeracy:

The Department includes Language Development as one of the required training areas in the Minimum Standards for centers and homes.

The CMAs, Childcare Education Resources, Childcare Resources and GRCMA Early Childhood Directions offer regularly available training in this area. The aforementioned Quality Contractors and several others distribute books to providers and parents, and stress the importance of reading to children as a key element in the development of early literacy skills.

The expected result is an increase in early language, literacy and numeracy practices and activities for all age levels of children in care.

Activities to Promote Inclusive Child Care:

The Department utilizes quality funds to partner with United Cerebral Palsy of Huntsville and Tennessee Valley to fund the Quality Enhancement with a Purpose Project. The project promotes the inclusion of children with special needs in child care settings and provides training and technical assistance to providers for establishing a quality inclusive child care environment. UCP of Huntsville and Tennessee Valley works with five satellite UCP agencies to implement the Project.

- UCP also offers stipends for substitutes while providers participate in training.
- UCP and the Alabama Department of Public Health/Healthy Child Care Alabama provide support for inclusive child care by purchasing adaptive equipment to loan or give providers to effectively serve children with special needs in their programs. Several Quality Contractors offer training for providers that specifically focuses on serving children with special needs.

The expected outcome is that child care staff will be trained in practices to enrich the learning experiences of special needs children and thereby increasing the availability of quality child care settings that are inclusive of special needs children.

Healthy Child Care America and Other Health Activities:

The Department has collaborated for several years with the Alabama Department of Public Health to fund Healthy Child Care Alabama. The focus of this collaboration is to decrease the incidence of injury, illness and death that occur in child care environments.

- Nurse Child Care Health Consultants, who are registered nurses, provide developmental, health and safety classes, coordinate community services for children with special needs, identify community resources to promote child health and safety, and encourage routine visits for children to their health care providers. These services are provided primarily on-site with center and home

providers. The Department includes Health, Safety, and Universal Precautions as one of the required training areas in the Minimum Standards for centers and homes.

- The CMAs, Childcare Education Resources, Childcare Resources and GRCMA Early Childhood Directions offer regularly available training in this area.

The expected result is improvement in the integration of health and safety procedures into the child care environment.

Increasing Parental Choice:

The Quality Enhancement Agencies provide support for the various types of child care providers so that parents have choices of quality child care.

- Family Guidance Center implements the Kids and Kin Relative Child Care Program that offers support to individuals caring for their relatives' children by providing training and offering incentives.
- GRCMA Early Childhood Directions supports exempt child care providers who want to improve the quality of their services.
- Auburn University supports family and group home providers in reaching the goal of national accreditation.
- Several of the QEAs provide varying degrees of support to child care center providers who are interested in and moving toward national accreditation.

The expected result is an increase in child care providers that can meet the varying child care needs of parents thereby expanding the parent's choices.

Other Quality Activities:

The CMAs, Childcare Education Resources, Childcare Resources, GRCMA Early Childhood Directions and Northwest-Shoals Community College offer extended support services to providers and parents through resource/lending libraries and/or mobile resource units.

- Providers can check out children's books, toys, and furniture, literacy kits, activity bags/boxes, resource books and many other kinds of materials that can assist them in providing quality, early learning experiences for children.
- Parents can obtain information about children's development and appropriate activities as well as information about what to look for when choosing quality child care.

The expected outcome is providers will be equipped with various resources and supports to assist in planning and implementing developmentally appropriate activities with children.

Improving the Availability of Child Care:

The CMAs, Childcare Education Resources, Childcare Resources and GRCMA Early Childhood Directions offer training sessions and/or courses for individuals

who are interested in becoming family or group home providers or in opening a child care center.

- The QEAs also provide training for individuals who are new to child care. These training sessions and/or courses are based on the pre- and in-service training requirements in the Minimum Standards.
- Relative providers who are interested in becoming licensed home or center providers are provided information and support through the Kids and Kin Relative Child Care Program/Family Guidance Center. Relative providers who complete Levels I and II of the Voluntary Certification Program receive training that can be counted toward licensing requirements.

The expected result of this initiative is an increase in the number and categories of child care settings and an increase in the quality of all categories of child care.

Evaluation: Quality training activities are evaluated using a pre- and post-test of participant knowledge and understanding. In addition, Quality Enhancement contractors are required to submit quarterly status reports that include information regarding training, consultations, technical assistance, and other quality activities. The evaluations have indicated increased participation by all categories of providers in quality training and a general increase in participant knowledge and understanding of child care best practices.

The outcomes expected of all initiatives is to train child staff to use developmentally appropriate practices in the child care setting to enrich the learning experiences of children.

5.2 Early Learning Guidelines and Professional Development Plans

5.2.1 Status of Voluntary Early Learning Guidelines. Indicate which of the following best describes the current status of the State's efforts to develop, implement, or revise research-based early learning guidelines (content standards) for three-to-five year-olds.

NOTE: Check only one box that best describes the status of your State/Territory's three-to-five-year-old guidelines.

- ☐ **Planning.** The State is planning for the development of early learning guidelines. Expected date of plan completion: ____ If possible, respond to questions 5.2.2 through 5.2.4.
- ☐ **Developing.** The State is in the process of developing early learning guidelines. Expected date of completion: ____ If possible, respond to questions 5.2.2 through 5.2.4.
- ☐ **Developed.** The State has approved the early learning guidelines, but has not yet developed or initiated an implementation plan. The early learning guidelines are included as **Attachment 5.2.1, if available.**
- ☒ **Implementing.** In addition to having developed early learning guidelines, the State has embarked on implementation efforts which may include

- dissemination, training or embedding guidelines in the professional development system. The guidelines are included as **Attachment 5.2.1.**
- ☐ **Revising.** The State has previously developed early learning guidelines and is now revising those guidelines. The guidelines are included as **Attachment 5.2.1.**
- ☐ **Other. Describe:**

a) **Describe** the progress made by the State/Territory in developing, implementing, or revising early learning guidelines for early learning since the date of submission of the 2008-2009 State Plan. Efforts to develop early learning guidelines for children birth to three or older than five may be described here. **The Alabama Early Learning Guidelines (AELG) have been printed and distributed. Initially, the state printed 7,500 copies. Presently, over 4,900 copies are in circulation, in licensed day care centers, exempt centers, family and group day care homes, pre-K sites, head start centers, homes of relative care providers and families. The guidelines can also be found on the Department's website. A copy of the guidelines can be requested by phone or in writing to the Child Care Services Division.**

The Training Committee created to develop training plans for the Alabama Early Learning Guidelines has completed a training manual for trainers, a CD and a course for users of the guidelines. Only trainers who have taken the Train-the-Trainer Course will train on the guidelines. The initial trainers were selected from the training committee. Presently, 64 trainers have taken the Train-the-Trainer Course. The training on the guidelines is being offered by the Department of Human Resources (DHR) contract trainers. Offering of the training on the guidelines is being publicized in newsletters, flyers and the websites of the Quality Enhancement Contractors.

Training on the Alabama Early Learning Course consists of nine sessions. The sessions included in the course are: Session I – Introduction; Session II- Child Observation; Session III – The Role of the Parent and Caregiver; Session IV – Self-Concept/Emotional Development; Session V- Social Development; Session VI – Language and Literacy Development; Session VII – Physical Development; Session VIII – Cognitive Development; and Session IX – Putting It All Together for Alabama's Children. Each session is two hours. Each participant will receive a certificate of completion for each session and an Alabama Early Learning Guidelines Credential from DHR upon completion of all nine sessions. Each session has a pre and post test. Presently, over 100 participants have received the credential and many have completed various sessions.

b) If developed, are the guidelines aligned with K-12 content standards or other standards (e.g., Head Start Child Outcomes, State Performance Standards)?

☒ Yes. If yes, **identify standards:**
AELG is aligned with the Alabama State Curriculum for K-2, Office of School Readiness (State Pre-K) Performance Standards for 4 Year Olds, and Head Start Performance Standards.

☐ No.

c) If developed, are the guidelines aligned with early childhood curricula?

☒ Yes. If yes, **describe:**
AELG addresses Self-Concept/Emotional Development, Social Development, Language and Literacy Development, Physical Development and Cognitive Development for children from birth through five years. The guidelines describe the skill, what the child needs and how the provider can help the child achieve the skill.

☐ No.

d) Have guidelines been developed for children in the following age groups:

☒ Birth to three. Guidelines are included as **Attachment 5.2.1**

☒ Birth to five. Guidelines are included as **Attachment 5.2.1**

☐ Five years or older. Guidelines are included as **Attachment 5.2.1**

If any of your guidelines are available on the web, provide the appropriate Web site address (guidelines must still be attached to Plan):

5.2.2 Domains of Voluntary Early Learning Guidelines. Do the guidelines for three-to-five-year-olds address language, literacy, pre-reading, and early math concepts?

☒ Yes.

☐ No.

a) Do the guidelines for children three-to-five-year-olds address other domains such as social/emotional, cognitive, physical, health, or creative arts?

☒ Yes. If yes, **describe.**

In addition to the domains included in *Good Start, Grow Smart*, the guidelines also include self concept/emotional development, social development, physical development and cognitive development

☐ No.

5.2.3 Implementation of Voluntary Early Learning Guidelines.

a) **Indicate** which strategies the State used, or expects to use, in implementing its early learning guidelines.

Check all that apply:

- ☒ Disseminating materials to practitioners and families
- ☒ Developing training curricula
- ☒ Partnering with other training entities to deliver training
- ☒ Aligning early learning guidelines with licensing, core competencies, and/or quality rating systems
- ☐ Other. **Describe:**

Alabama has developed a Train-the-Trainer Manual and the Alabama Early Learning Guidelines Course. The course consists of nine sessions. Each session is two hours in length. Upon completion of all nine sessions, each participant receives an Alabama Early Learning Guidelines Credential from DHR

b) **Indicate** which stakeholders are, or are expected to, actively support(ing) the implementation of early learning guidelines:

Check all that apply:

- ☒ Publicly funded (or subsidized) child care
- ☒ Head Start
- ☒ Education/Public pre-k
- ☒ Early Intervention
- ☒ Child Care Resource and Referral
- ☒ Higher Education
- ☒ Parent Associations
- ☐ Other. **Describe:**

c) **Indicate** the programs that mandate or require the use of early learning guidelines

- ☐ Publicly funded (or subsidized) child care
- ☐ Head Start
- ☐ Education/Public pre-k
- ☐ Early Intervention
- ☐ Child Care Resource and Referral
- ☐ Higher Education
- ☐ Parent Associations
- ☐ Other. **Describe:**

d) **Describe** how cultural, linguistic and individual variations are (or will be) acknowledged in implementation.

e) Describe how the diversity of child care settings is (or will be) acknowledged in implementation.

The Early Learning Guidelines were developed with the cultural, linguistic and individual variations in mind. The guidelines format was designed so that various audiences could comprehend the methods and strategies outline for each level. The guidelines were developed to address all provider settings including licensed day care centers, exempt centers, family and group day care homes, pre-K sites, head start centers, homes of relative care providers and families. The training for the Guidelines can be modified to address each provider setting.

Materials developed to support implementation of the guidelines are included as **Attachment 5.2.3**. If these are available on the web, provide the appropriate Web site address (guidelines must still be attached to Plan):

Early Learning Guidelines are available on the Departments website at www.dhr.alabama.gov

5.2.4 Assessment of Voluntary Early Learning Guidelines. As applicable, **describe** the State's plan for:

- a) Validating the content of the early learning guidelines
- b) Assessing the effectiveness and/or implementation of the guidelines
- c) Assessing the progress of children using measures aligned with the guidelines
- d) Aligning the guidelines with accountability initiatives

Written reports of these efforts are included as **Attachment 5.2.4**. If these are available on the web, **provide** the appropriate Web site address (reports must still be attached to Plan):

Alabama has not begun the assessment phase of the Early Learning Guidelines. However, a pre-test and post-test of knowledge and understanding has been designed for each of the nine (9) training sessions.

5.2.5 Plans for Professional Development. **Indicate** which of the following best describes the current status of the Lead Agency's efforts to develop a professional development plan for early childhood providers that includes all the primary sectors: child care, Head Start, and public education. **NOTE: Check ONLY ONE box that best describes the status of your State's professional development plan.**

☐

Planning. Are steps underway to develop a plan?

☐

Yes, and **describe** the entities involved in the planning process, the time frames for completion and/or implementation, the

steps anticipated, and how the plan is expected to support early language, literacy, pre-reading and early math concepts.

☐ No.

- ☐ **Developing.** A plan is being drafted. The draft or planning documents are included as **Attachment 5.2.5**, if applicable.
- ☐ **Developed.** A plan has been written but has not yet been implemented. The plan is included as **Attachment 5.2.5**, if applicable.
- ☒ **Implementing.** A plan has been written and is now in the process of being implemented, or has been implemented. The plan is included as **Attachment 5.2.5**.
- ☐ **Revising.** The State previously developed a professional development plan and is now revising that plan, or has revised it since submitting the 08-09 State Plan. The revisions or the revised plan are included as **Attachment 5.2.5**.
- ☐ **Other. Describe:**

a) **Describe** the progress made by the State in planning, developing, implementing, or revising the professional development plan since the date of submission of the 2008-2009 State Plan.

The Alabama Child Care and Education Professional Development System, *Alabama Pathways to Quality Care and Education*, plan brochure is in the process of being printed. The brochure states, “Implementation of *Alabama Pathways* begins with the dissemination of information to promote and support highly qualified caregivers and teachers.” The dissemination stage began in February 2009 with sections of *Alabama Pathways* being distributed to 73 caregivers, teachers, administrators, and other interested individuals at a Quality Enhancement Agency’s Child Care Conference in February and at the 2009 Alabama Head Start Spring Conference in March. *Alabama Pathways* presentations will be made at the 2009 Alabama Pre-K Conference in April, a Kids and Kin Relative Care Provider Voluntary Certification Program Graduation in May, the 2009 Family Child Care Conference in June, and another Quality Enhancement Agency’s Child Care Conference in July.

b) If developed, does the plan include (Check **EITHER** yes or no for each item):

	Yes	No
Specific goals or desired outcomes	<input checked="" type="checkbox"/>	<input type="checkbox"/>
A link to Early Learning Guidelines	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Continuum of training and education to form a career path	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Articulation from one type of training to the next	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Quality assurance through approval of trainers	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Quality assurance through approval of training content	<input type="checkbox"/>	<input checked="" type="checkbox"/>
A system to track practitioners' training	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Assessment or evaluation of training effectiveness	<input type="checkbox"/>	<input checked="" type="checkbox"/>
State Credentials – Please state for which roles (e.g. infant and toddler credential, directors' credential, etc.)	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Specialized strategies to reach family, friend and neighbor caregivers	<input checked="" type="checkbox"/>	<input type="checkbox"/>

c) For each **Yes** response, **reference** the page(s) in the plan and briefly **describe**.

The Alabama Professional Development Team (APDT) agreed that the goal of *Alabama Pathways* is “to provide a path to support and advance the best practices of those who care for and teach children from birth through 12 years.” The specific goals and desired outcomes are addressed in the “What is *Alabama Pathways*...?” section of the plan brochure.

The Alabama Early Learning Guidelines (AELG) Credential is included in Level 1 of the *Alabama Pathways* Professional Development Lattice. The “Professional Development Lattice” section of the plan brochure identifies the purpose of the Lattice and includes the testimony of an individual who has moved through various levels of the Lattice.

The “Professional Development Lattice” section of the plan brochure outlines Training and Education from Level 1 through Level 8. Depending on the amount of training and education an individual has that is specific to child development and/or early care and education, the Lattice provides a continuum of training and education that supports high quality care and teaching of young children.

The “Where can I obtain child development and early childhood training and education?” section of the plan brochure includes an Academic Inventory for the Alabama Community College System 2-year institutions that reflects a path from obtaining a Short-term Certificate to a Bachelor of Science Degree in Early Childhood Education due to established articulation agreements between 2-year and 4-year institutions. This section also directs individuals to check whether institutions have appropriate institutional and/or programmatic accreditation.

The Alabama Early Learning Guidelines (AELG) Credential in Level 1 of the *Alabama Pathways* Professional Development Lattice is

appropriate for all roles of caregivers and teachers that work with children from birth through five years. The Alabama Early Learning Guidelines Course includes information regarding the following: the Parent's Role and the Caregiver's Role; the Developmental Domains of language and literacy development, cognitive development, self concept/emotional development, social development, and physical development; a Resource Guide with telephone numbers and websites for contacting various local and national agencies and organizations regarding child care issues; Developmental Alerts for children from one month through five years; a sample Developmental Checklist; Nutrition for young children; Elements of Quality Early Childhood Programs; and "DID YOU KNOW?" factual statements about children's development and learning.

The "Benefits of Participating" section of the plan brochure identifies relative caregivers as a target group for participation in Alabama Pathways. The Kids and Kin Relative Care Provider program is implemented by a DHR Quality Enhancement Agency and serves relative caregivers in 33 counties. The program provides training, education and other activities to increase relative providers' knowledge about quality child care. The Kids and Kin Voluntary Certification Program allows relative caregivers to obtain 20 hours of training based on Alabama's Minimum Standards training areas.

d) For each **No** response, **indicate** any plans the Lead Agency has to incorporate these components.

The Alabama Professional Development Team has long range plans to enhance *Alabama Pathways* with Trainer Approval, Training Approval, Tracking Training, and Training Assessment/Evaluation that take into account the various types and levels of training that are offered throughout the state.

e) Are the professional development opportunities described in the plan available:

Note: Check either yes or no for each item):

	Yes	No
Statewide	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Center-based Child Care Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Group Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To Family Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
To In-Home Providers	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Other (describe): Relative Care Providers, Pre-K teachers and assistant teachers;	<input checked="" type="checkbox"/>	<input type="checkbox"/>

	Yes	No
Special Education teachers; Early Intervention Service Coordinators; School-age caregivers and teachers (beyond regular school hours); Part-time staff in Y's, Boys and Girls Clubs, and Mother's Day Out; Non-traditional caregivers such as homeschoolers, nannies, and respite caregivers		

f) **Describe** how the plan addresses early language, literacy, pre-reading, and early math concepts development.

The "What do high quality caregivers, teachers and administrators need to know?" section of *Alabama Pathways* outlines eight (8) Core Knowledge Areas. At the top of the list is the "Child Growth and Development" core knowledge area that stresses the importance of caregivers, teachers and administrators understanding how children develop physically, cognitively, socially, emotionally, and culturally; understanding how children acquire language and creative expression; and understanding the links between development and learning. The "Learning Experiences and Enrichment" core knowledge area stresses the importance of understanding developmentally effective approaches to teaching and learning and knowing how to utilize knowledge of academic disciplines to design, implement, and evaluate programs that promote positive development and learning.

g) Are program or provider-level incentives offered to encourage provider training and education?

☐ Yes. **Describe**, including any connections between the incentives and training relating to early language, literacy, pre-reading and early math concepts.

☐ No. **Describe** any plans to offer incentives to encourage provider training and education, including any connections between the incentives and training relating to early language, literacy, pre-reading and early math concepts?

The Alabama Professional Development Team decided that initially incentives for participation in *Alabama Pathways* would not be offered. Current quality initiatives include incentives as indicated in Section 5.1.4: "Grants to Providers," "Professional Development including Training, Education and Technical Assistance," "Improving Salaries and Other Compensation for Child Care Providers," and "Activities to Promote Inclusive Child Care."

h) As applicable, does the State assess the effectiveness of its professional development plan, including the achievement of any specified goals or desired outcomes?

- ☐ Yes. **Describe** how the professional development plan's effectiveness/goal is assessed.
- ☐ No. **Describe** any plans to include assessments of the professional development plan's effectiveness/goal achievement.
The Alabama Professional Development Team has as a priority to identify and/or develop methods of assessment of the effectiveness of *Alabama Pathways*.

i) Does the State assess the effectiveness of specific professional development initiatives or components?

- ☐ Yes. **Describe** how specific professional development initiatives or components' effectiveness is assessed.
- ☐ No. **Describe** any plans to include assessments of specific professional development initiatives or components' effectiveness.
Alabama is in the information dissemination phase of implementing *Alabama Pathways*. The Alabama Professional Development Team will include assessment of specific professional development initiatives in the identification and/or development of methods for assessing the effectiveness of *Alabama Pathways*.

j) As applicable, does (or will) the State use assessment to help shape or revise its professional development plan?

- ☐ Yes. **Describe** how assessment informs the professional development plan.
- ☐ No. **Describe** any plans to include assessment to inform the professional development plan.
The Alabama Professional Development Team will use ongoing assessment of *Alabama Pathways* to make adjustments and/or revisions to the plan as it is implemented.

PART 6

HEALTH AND SAFETY REQUIREMENTS FOR PROVIDERS

(Only the 50 States and the District of Columbia complete Part 6.)

The National Resource Center for Health and Safety in Child Care (NRCHSCC) of DHHS's Maternal and Child Health Bureau supports a comprehensive, current, on-line listing of the licensing and regulatory requirements for child care in the 50 States and the District of Columbia. **Note: This database typically contains information on licensing requirements for meeting State or local law to operate (§98.40). This database does not contain registration or certification requirements specific only to participation in the CCDF program.**

In lieu of requiring a State Lead Agency to provide information that is already publicly available, ACF accepts this compilation as accurately reflecting the States' licensing requirements.

The listing, which is maintained by the University of Colorado Health Sciences Center School of Nursing, is available on the World Wide Web at: <http://nrc.uchsc.edu/>.

CCDF regulations (§98.2) define the following categories of care:

- **Center-based child care provider:**

Provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.

- **Group home child care provider:**

Two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.

- **Family child care provider:**

One individual who provides child care services for fewer than 24 hours per day per child as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.

- **In-home child care provider:**

Individual who provides child care services in the child's own home. In home providers may be relative or non-relative.

6.1 Health and Safety Requirements for Center-Based Providers (658E(c)(2)(F), §98.41, §98.16(j))

- 6.1.1 Are all center-based providers paid with CCDF funds subject to licensing under State law per the NRCHSCC's compilation? **Note:** Some States use the term certification or registration to refer to their licensing regulatory process. Do not check "Yes" if center-based providers simply must *register* or *be certified* to participate in the CCDF program separate from the State regulatory requirements.

☐ Yes. Answer 6.1.2, skip 6.1.3, and go to 6.2.

☒ No. **Describe** which center-based providers are exempt from licensing under State law and answer 6.1.2 and 6.1.3.

Center based providers that are exempt from licensing include: centers operated by a religious or faith-based organization; centers that are operated by another State Agency; centers that are operated by a local government; centers that are operated by military facilities; and centers that operate less than four (4) hours per day.

- 6.1.2 Have center licensing requirements as relates to staff-child ratios, group size, or staff training been modified since approval of the last State Plan?
(§98.41(a)(2)&(3))

☐ Yes, and the changes are as follows:

☒ No.

- 6.1.3 For center-based care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for center-based child care services provided under the CCDF

***** Response follows Section 6.4.3 *****

6.2 Health and Safety Requirements for Group Home Child Care Providers (658E(c)(2)(F), §§98.41, 98.16(j))

- 6.2.1 Are all group home providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? **Note:** Some States use the term certification or registration to refer to their licensing regulatory process. Do not check "Yes" if group home child care providers simply must

register or be certified to participate in the CCDF program separate from the State regulatory requirements.

☐ Yes. Answer 6.2.2, skip 6.2.3, and go to 6.3.

☒ No. **Describe** which group home providers are exempt from licensing under State law and answer 6.2.2 and 6.2.3.

Child Care facilities located in a family home and are affiliated with a religious/faith-based organization may be exempt from licensing under Alabama law.

☐ N/A. Group home child care is not a category of care in this State. Skip to Question 6.3.1

6.2.2 Have group home licensing requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

☐ Yes, and the changes are as follows:

☒ No.

6.2.3 For group home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for center-based child care services provided under the CCDF

***** Response follows Section 6.4.3 *****

6.3 Health and Safety Requirements for Family Child Care Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.3.1 Are all family child care providers paid with CCDF funds subject to licensing under State law that is indicated in the NRCHSCC's compilation? **Note:** Some States use the term certification or registration to refer to their licensing regulatory process. Do not check “Yes” if family child care providers simply must *register* or *be certified* to participate in the CCDF program separate from the State regulatory requirements.

☐ Yes. Answer 6.3.2, skip 6.3.3, and go to 6.4.

☒ No. **Describe** which family child care providers are exempt from licensing under State law and answer 6.3.2 and 6.3.3.

Child Care facilities located in a Family home and are affiliated with a religious/faith-based organization may be exempt from licensing under Alabama law.

6.3.2 Have family child care provider requirements that relate to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

☐ Yes, and the changes are as follows:

☒ No.

6.3.3 For family care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for center-based child care services provided under the CCDF

***** Response follows Section 6.4.3 *****

6.4 Health and Safety Requirements for In-Home Child Care Providers (658E(c)(2)(F), §§98.41, 98.16(j))

Note: Before responding to Question 6.4.1, **check** the NRCHSCC's compilation of licensing requirements to verify if **in-home child care** as defined by CCDF and your State is covered. If

not, **check** no for 6.4.1. Do not check “Yes” if in-home child care providers simply must *register* or *be certified* to participate in the CCDF program separate from the State regulatory requirements.

6.4.1 Are all in-home child care providers paid with CCDF funds subject to licensing under the State law reflected in the NRCHSCC's compilation?

☐ Yes. Answer 6.4.2, skip 6.4.3, and go to 6.5.

☐ No. **Describe** which in-home child care providers are exempt from licensing under State law and answer 6.4.2 and 6.4.3.

All in-home providers are exempt from licensing requirements.

6.4.2 Have in-home health and safety requirements that relate to staff-child ratios, group size, or training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

☐ Yes, and the changes are as follows:

☒ No.

In-home providers are exempt from staff-child ratio, group size and training requirements.

6.4.3 For in-home care that is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

The following response is for Section 6.1.3, 6.2.3, 6.3.3 and Section 6.4.3

All providers participating in the Subsidy Program must either be licensed or “registered”. Registered providers who are exempt from licensure, (i.e., in-home providers, relative out-of-home providers, faith-based centers, programs operating less than 4 hours per day, and certain programs operated by another State agency), must also complete a health and safety self-certification form which is to be posted in the facility. The form includes, but is not limited to, certification of conformity with the following:

- **All children in care are up-to-date with immunizations in accordance with the Alabama Department of Public Health;**

- Procedures are being followed to prevent and/or control infectious diseases;
- The facility is free of hazardous conditions;
- The facility participates in health and safety training appropriate to the provider setting; and
- For facilities providing care for 13 or more children, documentation that appropriate fire and health agencies have been notified.

In addition, parents choosing to place their children with a registered unlicensed provider will be given a parental child care checklist including, but not limited to, health and safety. The checklist is explained in detail during the resource and referral process and parents are encouraged to visit facilities and use the checklist in making their decisions for care. Before receiving care for their children, parents will indicate in writing that they choose to place their child/ren in a specific facility. Training is available to parents and/or providers in matters of health and safety as well as other types of training.

6.5 Exemptions to Health and Safety Requirements

At Lead Agency option, the following relatives: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care) may be exempted from health and safety requirements. (658P(4)(B), §98.41(a)(1)(ii)(A))

Indicate the Lead Agency's policy regarding these relative providers:

- ☐ All relative providers are subject to the same requirements as described in sections 6.1 - 6.4 above, as appropriate; there are **no exemptions** for relatives or different requirements for them.
- ☒ All relative providers are **exempt** from all health and safety requirements.
- ☐ **Some or all** relative providers are subject to different health and safety requirements from those described in sections 6.1 - 6.4. The following a) describes those requirements and b) identifies the relatives they apply to:

6.6 Enforcement of Health and Safety Requirements

6.6.1 Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d))

Describe how health and safety requirements are effectively enforced, including at a minimum:

- a) Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?

- ☒ Yes, and **indicate** the provider categories subject to routine unannounced visits and the frequency of those visits:

Licensed family day/night care, licensed group day/night care, and licensed center providers are subject to routine monitoring visits as set out in the respective Minimum Standards. The Department is authorized to conduct monitoring visits at licensure renewal, for complaint investigations, and as often as needed to enforce licensing requirements. Monitoring visits are “to evaluate and investigate operations and services, to review records, and to provide consultative services to assure the continued well-being of the children in care, to assure the maintenance of prescribed Minimum Standards and to assure the achievement of programs related to the care of children being served”. With the exception of consultative services, visits are unannounced.

☐ No.

b) Are child care providers subject to background checks?

- ☒ Yes, and **indicate** the types of providers subject to background checks and when such checks are conducted:

Criminal history background checks are required prior to licensing for the owner/licensee of a facility. Checks for new employees must be submitted within five (5) days. Checks are required for licensed centers and homes (family and group). Criminal background checks are required for all providers participating in the Child Care Subsidy Program.

☐ No.

c) Does the State require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)

- ☒ Yes, and **describe** the State’s reporting requirements and how such injuries are tracked (if applicable):

Serious injuries must be reported to the Department with 24 hours of the occurrence. A written form documenting the injury must be filed with the Department within five (5) days. Injuries are tracked through a database in cooperation with the Alabama Department of Public Health.

☐ No.

d) Describe any other methods used to ensure that health and safety requirements are effectively enforced:

6.7 Exemptions from Immunization Requirements

The State assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the State public health agency. (§98.41(a)(1))

The State exempts the following children from immunization (check all that apply):

- ☒ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- ☒ Children who receive care in their own homes.
- ☒ Children whose parents object to immunization on religious grounds.
- ☒ Children whose medical condition contraindicates immunization.

PART 7

HEALTH AND SAFETY REQUIREMENTS IN THE TERRITORIES

(Only the Territories complete Part 7)

CCDF regulations (§98.2) define the following categories of care:

- **Center-based care:** Provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.
- **Group home child care provider:** Two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.
- **Family child care provider:** One individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work.
- **In-home child care provider:** Individual who provides child care services in the child's own home.

7.1 Health and Safety Requirements for Center-Based Providers in the Territories (658E(c)(2)(F), §98.41(a), §98.16(j))

7.1.1 For all center-based care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

7.2 Health and Safety Requirements for Group Home Child Care Providers in the Territories (658E(c)(2)(F), §98.41(a), §98.16(j))

7.2.1 For all group home child care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

7.3 Health and Safety Requirements for Family Child Care Providers in the Territories
(658E(c)(2)(F), §98.41(a), §98.16(j))

7.3.1 For all family child care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

7.4 Health and Safety Requirements for In-Home Child Care Providers in the Territories
(658E(c)(2)(F), §98.41(a), §98.16(j))

7.4.1 For all in-home care, the following health and safety requirements apply to child care services provided under the CCDF for:

- a) The prevention and control of infectious disease (including age-appropriate immunizations)
- b) Building and physical premises safety
- c) Health and safety training
- d) Other requirements for child care services provided under the CCDF

7.5 Exemptions to Territorial Health and Safety Requirements

At Lead Agency option, the following relatives may be exempted from health and safety requirements: grandparents, great grandparents, aunts, uncles, or siblings (who live in a separate residence from the child in care). (658P(4)(B), §98.41(a)(1)(ii)(A)). Indicate the Lead Agency's policy regarding these relative providers:

- ☐ **All** relative providers are subject to the same requirements as described in sections 7.1 - 7.4 above, as appropriate; there are **no exemptions** for relatives or different requirements for them.
- ☐ **All** relative providers are **exempt** from all health and safety requirements.
- ☐ **Some or all** relative providers are subject to **different** health and safety requirements from those described in sections 7.1 - 7.4 and the following describes those different requirements and the relatives they apply to:

7.6 Enforcement of Territorial Health and Safety Requirements

7.6.1 Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) **Describe** how health and safety requirements are effectively enforced, including at a minimum:

a) Are child care providers subject to routine unannounced visits (i.e., not specifically for the purpose of complaint investigation or issuance/renewal of a license)?

- ☐ Yes, and **indicate** the provider categories subject to routine unannounced visits and the frequency of those visits:
- ☐ No.

b) Are child care providers subject to background checks?

- ☐ Yes, and **indicate** the types of providers subject to background checks and when such checks are conducted:
- ☐ No.

c) Does the Territory require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)

☐ Yes, and **describe** the Territory's reporting requirements and how such injuries are tracked (if applicable):

☐ No.

d) Describe any other methods used to ensure that health and safety requirements are effectively enforced:

7.7 Exemptions from Territorial Immunization Requirements

The Territory assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the Territorial public health agency. (§98.41(a)(1))

The Territory exempts the following children from immunization (check all that apply):

- ☐ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- ☐ Children who receive care in their own homes.
- ☐ Children whose parents object to immunization on religious grounds.
- ☐ Children whose medical condition contraindicates immunization.

APPENDIX 1

CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures (§98.15) that:

- (1) upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))
- (7) that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 109-149)

The Lead Agency also certifies that:

- (1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))

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- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))
- (3) it will collect and disseminate to parents of eligible children and the general public consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

APPENDIX 2

ELIGIBILITY AND PRIORITY TERMINOLOGY

For purposes of determining eligibility and/or priority for CCDF-funded child care services, Lead Agencies must **define** the following *italicized* terms. (658P, 658E(c)(3)(B))

- *in loco parentis* – Means exclusively adult relatives without legal custody or guardianship of the child; Foster parents of a child in the legal custody of the Department; and adults with whom the Department places a child for Protective Service reasons.
- *physical or mental incapacity* (if the Lead Agency provides such services to children age 13 and older) - **Incapacity (or incapacitated) means a physical or mental condition which, based on the conclusions of a licensed physician, psychiatrist or psychologist, renders a parent incapable of providing adequate care for a child or, in the case of a child, incapable of caring for himself or herself. (Receipt of VA disability or SSI does not in and of itself constitute incapacity.)**
- *protective services* – Services provided by the Department to, or on behalf of, children in response to reports of alleged abuse, neglect or exploitation. For purposes of the Child Care Subsidy Program, children in Foster Care are considered to be in protective services.
- *residing with* - Eligible children must live in the home with a parent, as defined at 45 CFR Part 98, Section 98.2 (Definitions).
- *special needs child* – A child who is receiving protective services or foster care services from the Department, and who has been determined by the Department to need child care services.
- *very low income* – For priority status families participating in the TANF JOBS program. All families with income at or below 30% of the poverty level or with income less than or equal to the applicable TANF benefit plus \$50 are not required to pay a fee.

List and define any additional terminology related to conditions of eligibility and/or priority established by the Lead Agency:

- *Transitional Child Care* – Child care services provided to current or former TANF recipients who are either gainfully employed at the point TANF assistance is terminated or who obtain gainful employment within six months of said termination.
- *Minor Parent* - An individual, regardless of marital status, who is under the age of 18 or is age 18, if the individual remains in high school or a GED program, and who is the natural parent of a dependent child. This classification is strictly for purposes of priority to assist minor parents in completing their high school education.

- ***At Risk* - Clients who, without receiving child care services, are at risk of losing their employment and having to rely on TANF assistance.**

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APPENDIX 3: ADDITIONAL CERTIFICATIONS

CCDF Regulations 45 CFR §98.13(b)(2)-(6) require the following certifications.

- 1. Assurance of compliance with Title VI of the Civil Rights Act of 1964:**
<http://www.hhs.gov/ocr/ps690.pdf>
- 2. Certification regarding debarment:**
<http://www.acf.hhs.gov/programs/ofs/grants/debar.htm>
- 3. Definitions for use with certification of debarment:**
<http://www.acf.hhs.gov/programs/ofs/grants/debar.htm>
- 4. HHS certification regarding drug-free workplace requirements:**
<http://www.acf.hhs.gov/programs/ofs/grants/drugfree.htm>
- 5. Certification of Compliance with the Pro-Children Act of 1994:**
<http://www.acf.hhs.gov/programs/ofs/grants/tobacco.htm>
- 6. Certification regarding lobbying:**
<http://www.acf.hhs.gov/programs/ofs/grants/lobby.htm>

These certifications were obtained in the 1997 Plan and need not be collected again if there has been no change in Lead Agency. If there has been a change in Lead Agency, these certifications must be completed and submitted with the Plan.

REQUIRED ATTACHMENTS

List all attachments included with this Plan.

Attachment 1.5.1 – Child Care Management Agencies
Attachment 2.1.1 – Emergency Welfare Disaster Response Plan
Attachment 2.2 – Summary of Comments from the Public Hearing
Attachment 3.2.3A – Maximum Reimbursement Results
Attachment 3.2.3B – Summary of Market Rate Survey Results
Attachment 3.3.2 – Countable Income
Attachment 3.5.1 – Parental Fee Chart
Attachment 4.1.1 – Child Care Assistance Application
Attachment 5.1.5 – Quality Enhancement Agencies
Attachment 5.2.1 – Alabama Early Learning Guidelines
Attachment 5.2.3 – Early Learning Guidelines Train-the Trainer Manual
Attachment 5.2.5 – Alabama Professional Development Plan

ATTACHMENT 1.5.1

CHILD CARE MANAGEMENT AGENCIES

<u>Name</u>	<u>Type Agency</u>
CMA OF NORTH CENTRAL ALABAMA Huntsville and Ft. Payne Region Mary Lynn Carlton, Executive Director	<i>Community/Non-profit</i> <i>Non-governmental</i>
FAMILY GUIDANCE CENTER OF ALABAMA Birmingham, Mobile and Montgomery and Dothan Regions Jeanne Sellers, CCM Division Director	<i>Community/Non-profit</i> <i>Non-governmental</i>
CHILD CARE RESOURCE CENTER, INC. Opelika Region Carlyn Tucker-Simmons, Executive Director	<i>Community/Non-profit</i> <i>Non-governmental</i>
UNIVERSITY OF ALABAMA CHILD DEVELOPMENT RESOURCES Tuscaloosa Region Sally Edwards, Director	<i>Non-TANF State Agency</i>
TALLADEGA CLAY RANDOLPH CHILD CARE CORP. Talladega Region Kay Jennings, Executive Director	<i>Community/Non-profit</i> <i>Non-governmental</i>

ATTACHMENT 2.1.1

Emergency Welfare Services Disaster Response Plan

The Emergency Welfare Services Disaster Response Plan is available on the Department of Human Resources website at www.dhr.alabama.gov.

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ATTACHMENT 2.2

Summary of Comments from Public Hearing

NOTE: The public hearing for the 2010-2011 CCDF State Plan will be held on May 6, 2009 in the Auditorium of the Gordon Persons Building. The following comments are from the 2007 public hearing.

Most comments spoke to issues related to the provider reimbursement rate, child/staff ratios and exempt from licensure providers that participate in the Subsidy Program.

There were several comments requesting increased funding to provide services to more children. One comment questioned how parents, who are not able to access care, find and afford care for their children.

One comment requested that reimbursement rates increase by 20% starting October 1, 2007.

Commenter wanted to know why percentile varied across regions.

There were comments that reimbursements paid to child care providers had remained “essentially” unchanged since 2003. Comments included remarks that current reimbursement rates make it difficult for child care facilities to stay in business

Several comments objected to the Department reimbursement of legally operating, exempt from licensure providers who provide care for children eligible for the Child Care Subsidy Program. It was requested that the state eliminate the exemption from licensure allowed some child care providers.

One comment addressed the Plans wording for what programs qualify for exemption from licensure. It was commented that the wording is too broad and suggested that the wording be changed to “preschool programs which are an integral part of a local church ministry or a religious nonprofit elementary school, and are so recognized in the church or school’s documents”.

Some comments spoke to a perceived increase in the number of exempt from licensure facilities and suggested that these facilities charge lower rates. Participants wanted to know what provisions would be made for these facilities in determining reimbursement rates

ATTACHMENT 3.1.1

Policy Manual

Policy Manual is available for review at any local Child Care Management Agency (CMA) or contact the Child Care Services Division at 334 242-1425 (or toll-free at 866-528-1694).

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PLAN FOR CCDF SERVICES IN: **ALABAMA**
FOR THE PERIOD 10/1/09 – 9/30/11

ATTACHMENT 3.2A

Maximum Reimbursement Rates

Regions	Center Full Infant/Toddler	Center Full Preschool	Center Full School	GFDC Full Infant/Toddler	GFDC Full Preschool	GFDC Full School	FDC Full Infant/Toddler	FDC Full Preschool	FDC Full School
Huntsville	\$93.00	\$84.00	\$77.00	\$93.00	\$86.00	\$75.00	\$91.00	\$86.00	\$78.00
Mobile	\$94.00	\$82.00	\$80.00	\$78.00	\$73.00	\$72.00	\$78.00	\$77.00	\$73.00
Birmingham	\$105.00	\$99.00	\$83.00	\$90.00	\$79.00	\$79.00	\$85.00	\$78.00	\$75.00
Montgomery	\$95.00	\$83.00	\$79.00	\$74.00	\$72.00	\$66.00	\$74.00	\$72.00	\$66.00
Opelika	\$82.00	\$76.00	\$72.00	\$68.00	\$66.00	\$64.00	\$70.00	\$70.00	\$65.00
Tuscaloosa	\$79.00	\$77.00	\$74.00	\$64.00	\$63.00	\$63.00	\$66.00	\$63.00	\$63.00
Ft. Payne	\$72.00	\$69.00	\$65.00	\$67.00	\$65.00	\$64.00	\$63.00	\$60.00	\$60.00
Talladega	\$73.00	\$70.00	\$70.00	\$67.00	\$65.00	\$65.00	\$63.00	\$60.00	\$59.00
Dothan	\$75.00	\$73.00	\$69.00	\$63.00	\$63.00	\$65.00	\$64.00	\$63.00	\$61.00

NOTE: Maximum part-time rates will not exceed 50% of the above rates. Maximum informal rates (in-home and relative out-of-home care) will not exceed \$35 per week.

PLAN FOR CCDF SERVICES IN: **ALABAMA**
FOR THE PERIOD 10/1/09 – 9/30/11

ATTACHMENT 3.2B

Summary of Market Rate Survey Results

NOTE: The 2009 Market Rate Survey is in process. The following information is the result of the 2007 Market Rate Survey. The full report is available on the Department's web site at www.dhr.alabama.gov.

Regions	Center Infant/Toddler 0 – 2 ½	Center Pre-school 2 ½ - 5	Center School	GFDC Infant/Toddler 0 – 2 ½	GFDC Pre-school 2 ½ - 5	GFDC School	FDC Infant/Toddler 0 – 2 ½	FDC Pre-school 2 ½ - 5	FDC School
01 Huntsville									
Average Market Rate	106	96	91	108	101	90	106	101	93
Rate 10/01/07	93	84	77	93	86	75	91	86	78
02 Mobile									
Average Market Rate	109	97	92	87	85	84	93	88	83
Rate 10/01/07	94	82	80	76	73	72	78	77	73
03 Birmingham									
Average Market Rate	116	107	98	105	94	90	100	93	88
Rate 10/01/07	105	99	83	90	79	79	85	78	75
04 Montgomery									
Average Market Rate	110	96	89	81	81	79	89	87	81
Rate 10/01/07	95	83	79	69	69	64	74	72	66
05 Opelika									
Average Market Rate	97	91	86	77	75	73	83	81	79
Rate 10/01/07	82	76	72	64	64	61	70	70	65
06 Tuscaloosa									
Average Market Rate	94	90	83	72	71	70	76	76	74
Rate 10/01/07	79	77	74	64	63	63	66	63	63
07 Ft Payne									
Average Market Rate	86	80	74	73	70	70	72	68	66
Rate 10/01/07	72	69	65	67	65	64	63	60	60
08 Talladega									
Average Market Rate	84	80	77	75	74	74	75	72	67
Rate 10/01/07	73	70	70	67	65	65	63	60	59
09 Dothan									
Average Market Rate	85	79	74	74	71	70	74	73	69
Rate 10/01/07	75	73	69	63	63	65	64	63	61

Legend

GFDC = Group Family Day Care

FDC = Family Day Care

ATTACHMENT 3.2B (continued)

Executive Summary of Market Rate Survey Results

Alabama Child Care Market Rate Survey: 2007

**Prepared by the Centers for Demographic Research
and Government and Public Affairs
Office of University Outreach
Auburn University Montgomery**

**For
Office of Child Care Subsidy
Child Care Services Division
Alabama Department of Human Resources**

Executive Summary

The following report presents the results from the 2007 Market Rate Survey of Child Care Costs in Alabama. This survey was conducted by the Office of Child Care Subsidy (located within the Child Care Services Division, Alabama Department of Human Resources) using a one-page questionnaire that was mailed to all known providers of child care services in Alabama during May and June, 2007. The Centers for Demographic Research and Government and Public Affairs (Auburn University Montgomery) were responsible for the compilation of the data, data analysis, and report preparation. Of the 3,417 market survey forms that were mailed, 1,437 (or 42.1 percent) were returned. Completed surveys were received from child care providers in all 67 Alabama counties and from all nine of the child care management regions that are administered by the Office of Child Care Subsidy. Seventy-five percent of the returned questionnaires were from “day care centers,” 16 percent from “family day care homes,” and 9.5 percent from “group day care homes.” Sixty-seven percent of those responding represented licensed facilities, with the remaining 33 percent from “exempt” providers. Of the 1,437 providers that responded, 1,165 provided child care services to children under 2½ years of age, 1,250 to children aged 2½-5 years, and 1,024 to children of school age.

According to the survey, the average weekly cost for full-time care for children under 2½ years of age (all child care facilities combined) is \$98. The average weekly cost is \$91 for children aged 2½-5 years, with the amount dropping to \$86 for children of school age. While there is basically no difference in average weekly rates, irrespective of age category, for licensed versus exempt child care facilities, child care costs vary significantly according to the type of facility, the child care management region in which the facility is located, and whether the facility is located in a rural or urban county. Thus, average weekly full-time costs for child care (again irrespective of age category) are highest in day care centers, intermediate in family day care homes, and lowest in group day care homes. Likewise, average weekly rates are perceptively higher for all age categories in the Huntsville, Mobile, Birmingham, and Montgomery child care management regions than in the Opelika, Dothan, Ft. Payne, Tuscaloosa, and Talladega regions. Finally, average weekly rates are higher for all age groups of children in the state’s urban counties than in its rural counterparts.

An examination of current DHR reimbursement rates for families receiving child care subsidies vis-à-vis the market rate data generated by the survey reveals that DHR rates (effective 10/1/2007) are currently within \$15 or less of the market rate average for all age groups of child and all categories of

providers (i.e., day care centers, family day care homes, and group day care homes) across all nine of the state's child care management regions

Highlights

- Average weekly child care costs for full-time enrollees in Alabama's child care facilities vary from \$98 for children under 2½ years of age, to \$91 for children aged 2½-5 years, to \$86 for children of school age. Thus, child care costs decline with the age of the child, with weekly costs for children of school age only about 88 percent of those for children under 2½ years of age.
- Irrespective of the age category of the child, average weekly child care costs are basically the same whether the facility is "licensed" or "exempt."
- Child care costs in Alabama vary significantly according to the type of provider, with average weekly costs (regardless of the age category of the child) highest for day care centers and lowest for group day care homes. Family day care homes, on average, charge more than group day care homes, but somewhat less than day care centers.
- Weekly child care costs for full-time care are noticeably higher in facilities located within the educational sector (public and private schools, universities, etc.) than in either for-profit centers or church-affiliated day care centers.
- Average weekly child care costs are perceptively higher in the Huntsville, Mobile, Birmingham, and Montgomery child care management regions than in the Opelika, Dothan, Ft. Payne, Tuscaloosa, and Talladega regions. This pattern holds for all age categories of children.
- Within the nine child care management regions, child care costs typically are highest in the Birmingham region and lowest in the Talladega region.
- The average cost of child care is significantly lower for all age categories of children in "rural counties" (wherein less than half of the population is classified as "urban" by the Census Bureau) than in "urban counties" (50 percent or more of the population is classified as "urban"). The rural-urban differential for full-time weekly care for all facilities combined ranges from \$21 for children under 2½ years of age to \$17 for children aged 2½-5 years to \$13 for children of school age.
- Full-time weekly child care costs are lower for all age groups of children in family and group day care homes (both categories combined) than in all other licensed child care facilities.
- The average weekly cost for full-time child care is only slightly higher (i.e., ranging from \$6-\$7, depending on the age group) for licensed day care centers than for exempt churches.
- DHR subsidies for child care costs (effective 10/1/2007) are within \$15 or less of the average market rate for all age groups of children and for all categories of providers (day care centers, family day care homes, and group day care homes) in all nine of the state's child care management areas.

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ATTACHMENT 3.3.2

Countable Income

The following income is considered in determining whether a family is financially eligible for services and for establishing the applicable parental fee:

- 1. Wages, salaries and tips:** Gross earnings of all family members received for work performed as an employee, including wages, salaries, commissions, tips, and cash bonuses earned, **before deductions** are made for taxes, bonds, pensions, union dues, and similar purposes.
- 2. Income from self-employment:** Gross receipts, including the value of all goods sold and services rendered, from one's own business, professional enterprise, or partnership, less a standard business expense deduction of 40% (rounded to the nearest dollar) to cover the cost of operating the business.
- 3. College Work Study;**
- 4. Social Security:** Social Security benefits and survivors' benefits, and permanent disability insurance payments made by the Social Security Administration prior to deductions for medical insurance and railroad retirement insurance checks from the U.S. Government.
- 5. Supplemental Security Income (SSI);**
- 6. Dividends and interest income** (on savings or bonds) from estates or trusts, net rental income or royalties include dividends from stockholdings or membership in associations, interest on savings or bonds, periodic receipts from estates or trust funds, net income from rental of a house, store, or other property to others, receipts from boarders or lodgers, and net royalties.
- 7. Family Assistance (FA);**
- 8. Pensions and annuities** include pensions or retirement benefits paid to a retired person or his survivors by a former employer or by a union, either directly or through an insurance company, periodic receipts from annuities or insurance.
- 9. Unemployment compensation** received from government unemployment insurance agencies or private companies during periods of unemployment and any strike benefits received from union funds.
- 10. Compensation received periodically from private or public insurance companies** for injuries incurred at work (the cost of this insurance must have been paid by the employer and not by the person);
- 11. Alimony;**
- 12. Child Support;**

13. Veterans' pension, includes money paid periodically by the Veterans Administration to disabled members of the Armed Forces or to survivors of deceased veterans, subsistence allowances paid to veterans for education and on-the-job training, as well as so-called "refunds" paid to ex-servicemen as GI insurance premiums.

14. Educational stipends, grants and scholarships available for living expenses (full amount less the amount designated for tuition and books).

Income not specifically identified in this section must **not be considered** for purposes of determining eligibility or in calculating parental fees.

PLAN FOR CCDF SERVICES IN: **ALABAMA**
FOR THE PERIOD 10/1/09 – 9/30/11

ATTACHMENT 3.5.1

Parental Fee Chart

Weekly Fee:	\$8.00	\$10.50	\$13.00	\$15.50	\$18.00	\$20.50	\$23.00
Family Size	Initial Eligibility Monthly Income Scale (All New Applicants Must Enter Under This Scale)						
2	364-771	772-896	897-1020	1021-1143	1144-1268	1269-1392	1393-1578
3	458-1012	1013-1190	1191-1354	1355-1519	1520-1683	1683-1847	1848-1984
4	551-1172	1172-1370	1371-1560	1561-1750	1751-1940	1941-2129	2130-2389
5	645-1383	1384-1605	1606-1828	1829-2051	2052-2272	2273-2495	2496-2794
6	738-1587	1588-1844	1845-2099	2100-2355	2356-2609	2610-2864	2865-3199
7	832-1792	1793-2083	2084-2372	2373-2663	2664-2952	2953-3242	3243-3604
>=8	925-1999	2000-2321	2322-2645	2646-2968	2969-3289	3290-3613	3614-4009

Note: Families with income below the amount shown in the \$8.00 column are NOT required to pay a fee. **All fees are per child.**

Weekly Fee:	\$30.50	\$38.00	\$45.50
Family Size	Continuing Eligibility Monthly Income Scale		
2	1579-1632	1633-1748	1749-1821
3	1985-2066	2067-2214	2215-2289
4	2390-2503	2504-2682	2683-2756
5	2795-2938	2939-3147	3148-3224
6	3200-3372	3373-3615	3616-3691
7	3605-3812	3813-4084	4085-4159
>=8	4010-4206	4207-4507	4508-4626

ATTACHMENT 4.1.1

Child Care Assistance Application

Applications for Child Care Assistance are available by contacting the local Child Care Management Agency (CMA). Applications are also available on the Department of Human Resources web site at www.dhr.alabama.gov. Applications downloaded from the web site must be submitted to the local Child Care Management Agency.

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ATTACHMENT 5.1.5

QUALITY ENHANCMENT AGENCIES

<u>Name</u>	<u>Type Agency</u>
ALABAMA DEPARTMENT OF PUBLIC HEALTH Healthy Child Care Alabama Sharis LeMay, Program Director	<i>Non-TANF State Agency</i>
AUBURN UNIVERSITY Family Child Care Partnerships Project Dr. Ellen Abell, Program Director	<i>Non-TANF State Agency</i>
UNITED CEREBRAL PALSY OF HUNTSVILLE AND THE TENNESSEE VALLEY Child Care Enhancement with a Purpose Carol McGuire, Program Director	<i>Community/Non-profit Non-Governmental</i>
ALABAMA PUBLIC TELEVISION Ready to Learn Suzanne McFerrin, Program Director	<i>Non-TANF State Agency</i>
ALABAMA DEPARTMENT OF POSTSECONDARY EDUCATION Leadership in Child Care Scholarship Virginia Frazer	<i>Non-TANF State Agency</i>
NORTHWEST-SHOALS COMMUNITY COLLEGE Dianne Pace, Program Director	<i>Non-TANF State Agency</i>
ALABAMA DEPARTMENT OF EDUCATION Extended Day / Extended Year Sallye Longshore, Program Director	<i>Non-TANF State Agency</i>
ALABAMA PARTNERSHIP FOR CHILDREN TEACH Early Childhood Alabama Michelle Raybon, Program Director	<i>Community/Non-profit Non-Governmental</i>
CHILDCARE EDUCATION RESOURCES Huntsville Region Richardson Hardison, Executive Director	<i>Community/Non-profit Non-Governmental</i>

FAMILY GUIDANCE CENTER OF ALABAMA
Montgomery Region and Dothan Region
Kids and Kin Relative Child Care Program
Jeanne Sellers, CCM Division Director

Community/Non-profit
Non-Governmental

GRCMA EARLY CHILDHOOD DIRECTION
Mobile Region
Wendy McEarchern, Executive Director

Community/Non-profit
Non-Governmental

CHILDCARE RESOURCES
Birmingham Region
Joan Wright, Executive Director

Community/Non-profit
Non-Governmental

CHILD CARE RESOURCE CENTER, INC.
Opelika Region
Carlyn Tucker-Simmons, Executive Director

Community/Non-profit
Non-Governmental

CHILD DEVELOPMENT RESOURCES
Tuscaloosa Region
Sally Edwards, Director

Non-TANF State Agency
Non-Governmental

CHILDCARE RESOURCE NETWORK
Ft. Payne Region
Mary S. Davis, Executive Director

Community/Non-profit
Non-Governmental

TALLADEGA CLAY RANDOLPH CHILD CARE CORP.
Talladega Region
Kay Jennings, Executive Director

Community/Non-profit
Non-Governmental

ATTACHMENT 5.2.1

Early Learning Guidelines

The Alabama Early Learning Guidelines is available for review on the Department's web site at www.dhr.alabama.gov or by contacting the Child Care Services Division at 334 242-1425 (or toll-free at 866-528-1694).

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ATTACHMENT 5.2.3

Early Learning Guidelines Train-the-Trainer Manual

The Alabama Early Learning Train-the-Trainer Manual is available by Contacting the Child Care Services Division at 334 242-1425 (or toll-free at 866-528-1694).

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ATTACHMENT 5.2.5

Alabama Professional Development Plan

The Alabama Child Care and Education Professional Development Plan, Alabama Pathways to Quality Care And Education is available for review by contacting the Child Care Services Division at 334 242-1425 (or toll-free at 866-528-1694).

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